

U.S. Department of Education

Washington, D.C. 20202-5335



APPLICATION FOR GRANTS UNDER THE

**2011 CSP 84.282A (SEA) APPLICATIONS
CFDA # 84.282A
PR/Award # U282A110005
Grants.gov Tracking#: GRANT10828920**

Closing Date: MAR 18, 2011

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This application was generated using the PDF functionality. The PDF functionality automatically numbers the pages in this application. Some pages/sections of this application may contain 2 sets of page numbers, one set created by the applicant and the other set created by e-Application's PDF functionality. Page numbers created by the e-Application PDF functionality will be preceded by the letter e (for example, e1, e2, e3, etc.).

Application for Federal Assistance SF-424

Version 02

* 1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	* 2. Type of Application: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify) <input type="text"/>
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* 3. Date Received: <input type="text" value="03/17/2011"/>	4. Applicant Identifier: <input type="text"/>
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5a. Federal Entity Identifier: <input type="text"/>	* 5b. Federal Award Identifier: <input type="text"/>
--	---

State Use Only:

6. Date Received by State: <input type="text"/>	7. State Application Identifier: <input type="text"/>
---	---

8. APPLICANT INFORMATION:

* a. Legal Name:

* b. Employer/Taxpayer Identification Number (EIN/TIN): <input type="text" value="146013200"/>	* c. Organizational DUNS: <input type="text" value="806782173"/>
---	---

d. Address:

* Street1:	<input type="text" value="89 Washington Avenue"/>
Street2:	<input type="text"/>
* City:	<input type="text" value="Albany"/>
County:	<input type="text"/>
* State:	<input type="text" value="NY: New York"/>
Province:	<input type="text"/>
* Country:	<input type="text" value="USA: UNITED STATES"/>
* Zip / Postal Code:	<input type="text" value="12234"/>

e. Organizational Unit:

Department Name: <input type="text" value="Office of Innovative Sch Model"/>	Division Name: <input type="text" value="Charter School Office"/>
---	--

f. Name and contact information of person to be contacted on matters involving this application:

Prefix: <input type="text" value="Mr."/>	* First Name: <input type="text" value="Cliff"/>
Middle Name: <input type="text"/>	
* Last Name: <input type="text" value="Chuang"/>	
Suffix: <input type="text"/>	

Title:

Organizational Affiliation:

* Telephone Number: <input type="text" value="518-474-1762"/>	Fax Number: <input type="text" value="518-474-3209"/>
---	---

* Email:

Application for Federal Assistance SF-424

Version 02

9. Type of Applicant 1: Select Applicant Type:

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

U.S. Department of Education

11. Catalog of Federal Domestic Assistance Number:

84.282

CFDA Title:

Charter Schools

*** 12. Funding Opportunity Number:**

ED-GRANTS-012511-002

* Title:

Office of Innovation and Improvement (OII): Charter Schools Program (CSP): State Educational Agencies CFDA Number 84.282A

13. Competition Identification Number:

84-282A2011-1

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

New York State

*** 15. Descriptive Title of Applicant's Project:**

NYS CSP Project 2011-2016

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

Application for Federal Assistance SF-424

Version 02

16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal	<input type="text" value="167,854,013.00"/>
* b. Applicant	<input type="text" value="0.00"/>
* c. State	<input type="text" value="0.00"/>
* d. Local	<input type="text" value="0.00"/>
* e. Other	<input type="text" value="0.00"/>
* f. Program Income	<input type="text" value="0.00"/>
* g. TOTAL	<input type="text" value="167,854,013.00"/>

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)**

- Yes No

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

** I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: * First Name:

Middle Name:

* Last Name:

Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative: * Date Signed:

Application for Federal Assistance SF-424

Version 02

*** Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.



U.S. DEPARTMENT OF EDUCATION
BUDGET INFORMATION
NON-CONSTRUCTION PROGRAMS

OMB Control Number: 1890-0004

Expiration Date: 06/30/2005

Name of Institution/Organization:
 New York State Education Department

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION A - BUDGET SUMMARY
U.S. DEPARTMENT OF EDUCATION FUNDS

Budget Categories	Project Year 1(a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	\$ 579,659	\$ 597,049	\$ 614,960	\$ 633,409	\$ 652,411	\$ 3,077,488
2. Fringe Benefits	\$ 255,572	\$ 303,360	\$ 335,707	\$ 372,318	\$ 383,487	\$ 1,650,444
3. Travel	\$ 20,000	\$ 20,000	\$ 20,000	\$ 20,000	\$ 20,000	\$ 100,000
4. Equipment	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
5. Supplies	\$ 2,000	\$ 2,000	\$ 2,000	\$ 2,000	\$ 2,000	\$ 10,000
6. Contractual	\$ 47,403,681	\$ 41,447,992	\$ 24,612,333	\$ 24,557,273	\$ 24,533,179	\$ 162,554,458
7. Construction	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
8. Other	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
9. Total Direct Costs (lines 1-8)	\$ 48,260,912	\$ 42,370,401	\$ 25,585,000	\$ 25,585,000	\$ 25,591,077	\$ 167,392,390
10. Indirect Costs*	\$ 86,949	\$ 89,557	\$ 92,244	\$ 95,011	\$ 97,862	\$ 461,623
11. Training Stipends	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
12. Total Costs (lines 9-11)	\$ 48,347,861	\$ 42,459,958	\$ 25,677,244	\$ 25,680,011	\$ 25,688,939	\$ 167,854,013

***Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

- (1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? Yes No
- (2) If yes, please provide the following information:
 Period Covered by the Indirect Cost Rate Agreement: From: 4/1/2009 To: 3/31/2010 (mm/dd/yyyy)
 Approving Federal agency: ED Other (please specify): _____
- (3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:
 Is included in your approved Indirect Cost Rate Agreement? or, Complies with 34 CFR 76.564(c)(2)?



U.S. DEPARTMENT OF EDUCATION

BUDGET INFORMATION

NON-CONSTRUCTION PROGRAMS

OMB Control Number: 1890-0004

Expiration Date: 06/30/2005

Name of Institution/Organization:
New York State Education Department

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION B - BUDGET SUMMARY

NON-FEDERAL FUNDS

Budget Categories	Project Year 1(a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
2. Fringe Benefits	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
3. Travel	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
4. Equipment	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
5. Supplies	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
6. Contractual	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
7. Construction	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
8. Other	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
9. Total Direct Costs (lines 1-8)	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
10. Indirect Costs	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
11. Training Stipends	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
12. Total Costs (lines 9-11)	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee- 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

<p>* SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</p> <p>Mary Drzonsc</p>	<p>* TITLE</p> <p>Chief Operating Officer</p>
<p>* APPLICANT ORGANIZATION</p> <p>New York State Education Department</p>	<p>* DATE SUBMITTED</p> <p>03/17/2011</p>

Standard Form 424B (Rev. 7-97) Back

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C.1352

Approved by OMB
0348-0046

1. * Type of Federal Action: <input type="checkbox"/> a. contract <input checked="" type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. * Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input checked="" type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. * Report Type: <input checked="" type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change
--	--	--

4. Name and Address of Reporting Entity:
 Prime SubAwardee

* Name:

* Street 1: Street 2:

* City: State: Zip:

Congressional District, if known:

5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime:

6. * Federal Department/Agency: <input type="text" value="Department of Education"/>	7. * Federal Program Name/Description: <input type="text" value="Charter Schools"/> CFDA Number, if applicable: <input type="text" value="84.282"/>
--	--

8. Federal Action Number, if known: <input type="text"/>	9. Award Amount, if known: \$ <input type="text"/>
--	--

10. a. Name and Address of Lobbying Registrant:

Prefix * First Name Middle Name

* Last Name Suffix

* Street 1 Street 2

* City State Zip

b. Individual Performing Services (including address if different from No. 10a)

Prefix * First Name Middle Name

* Last Name Suffix

* Street 1 Street 2

* City State Zip

11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when the transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

* Signature:

* Name: Prefix * First Name Middle Name
* Last Name Suffix

Title: Telephone No.: Date:

Federal Use Only:	Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)
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NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct

description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1894-0005**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202-4537.

Optional - You may attach 1 file to this page.

NYSED_84.282A_FY11Application_GEPA_031611.

Add Attachment

Delete Attachment

View Attachment

New York State Department of Education
FY2011 Application for Grants Under the Charter School Program
(CFDA Number: 84.282A)
GEPA Section 427 Statement

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

New York State Education Law §2854(2)(a)(b) states:

2. Admissions; enrollment; students.

(a) A charter school shall be nonsectarian in its programs, admission policies, employment practices, and all other operations and shall not charge tuition or fees; provided that a charter school may require the payment of fees on the same basis and to the same extent as other public schools. A charter school shall not discriminate against any student, employee or any other person on the basis of ethnicity, national origin, gender, or disability or any other ground that would be unlawful if done by a school. Admission of students shall not be limited on the basis of intellectual ability, measures of achievement or aptitude, athletic ability, disability, race, creed, gender, national origin, religion, or ancestry; provided, however, that nothing in this article shall be construed to prevent the establishment of a single-sex charter school or a charter school designed to provide expanded learning opportunities for students at-risk of academic failure or students with disabilities and English language learners; and provided, further, that the charter school shall demonstrate good faith efforts to attract and retain a comparable or greater enrollment of students with disabilities, English language learners, and students who are eligible applicants for the free and reduced price lunch program when compared to the enrollment figures for such students in the school district in which the charter school is located. A charter shall not be issued to any school that would be wholly or in part under the control or direction of any religious denomination, or in which any denominational tenet or doctrine would be taught.

(b) Any child who is qualified under the laws of this state for admission to a public school is qualified for admission to a charter school.

All schools that conduct project activities funded under this grant program must adhere to these legal requirements. In addition, as described in Selection Criteria (i), this CSP grant project is designed to increase access to high-quality educational opportunities for all students, particularly those who are educationally disadvantaged.

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

* APPLICANT'S ORGANIZATION New York State Education Department	
* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
Prefix: Ms.	* First Name: Valerie Middle Name:
* Last Name: Grey	Suffix:
* Title: Chief Operating Officer	
* SIGNATURE: Mary Drzonsc	* DATE: 03/17/2011

Close Form

SUPPLEMENTAL INFORMATION
REQUIRED FOR
DEPARTMENT OF EDUCATION GRANTS

1. Project Director:

Prefix: * First Name: Middle Name: * Last Name: Suffix:

Mrs. Barbara J. Moscinski

Address:

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Email Address:

bmoscins@mail.nysed.gov

2. Applicant Experience:

Novice Applicant Yes No Not applicable to this program

3. Human Subjects Research

Are any research activities involving human subjects planned at any time during the proposed project Period?

Yes No

Are ALL the research activities proposed designated to be exempt from the regulations?

Yes Provide Exemption(s) #: Activities fall under Exemptions (2) and (4) as described in the Definitions for Department of Education Supplemental Information for SF 424.

No Provide Assurance #, if available:

Please attach an explanation Narrative:

NYSED_84.282A_FY11Application_HumanResearch_0316 Add Attachment Delete Attachment View Attachment

New York State Department of Education
FY2011 Application for Grants Under the Charter School Program
(CFDA Number: 84.282A)
Exempt Human Subjects Research Narrative

The research activities proposed for the *NYS CSP Project 2011-2016* are fully described in *Selection Criteria (vii)*, *Quality of the Project Evaluation*, in the *Project Narrative*. The scope of research involves human subjects in two primary ways:

- An analysis of required state student testing data already collected by the New York State Department of Education (NYSED).

No personally identifiable information will be disclosed in any reporting that describes the outcome of the research. The same measures that are already in place at the NYSED to protect the privacy of individual students in relation to the release of testing data—in compliance with the Family Educational Rights and Privacy Act—will be applied for any research conducted for this CSP project.

This activity falls under Exemptions (2) and (4) as described in the *Definitions for Department of Education Supplemental Information for SF 424*.

- Surveys of adults conducted to evaluate the efficacy of project activities.

Results of surveys will always be reported in aggregate form. Responses will never be linked to an individual in an identifiable way.

This activity falls under Exemptions (2) as described in the *Definitions for Department of Education Supplemental Information for SF 424*.

Project Narrative

Abstract Narrative

Attachment 1:

Title: Pages: Uploaded File: **1234-NYSED_84.282A_FY11Application_Abstract_031611.pdf**

New York State Department of Education
FY2011 Application for Grants Under the Charter School Program
(CFDA Number: 84.282A)
Abstract

The *New York State Charter Schools Program (CSP) Project 2011–2016* seeks to double the number of high-quality charter schools (to almost 400 charter schools) that serve students in New York State, particularly English Language Learners, students with disabilities, those in high poverty, and those in rural communities. The four project objectives are:

- **Project Objective 1:** Increase the number of high-quality charter schools in New York State, especially those serving students who are at greatest risk of not meeting State academic standards.
- **Project Objective 2:** Strengthen the overall quality of the New York State charter authorizing and CSP grant administrative infrastructure.
- **Project Objective 3:** Promote the dissemination of New York State charter school best practices to other public schools.
- **Project Objective 4:** Improve student achievement outcomes in New York State charter schools, particularly for students who are at greatest risk of not meeting State academic standards.

This CSP grant project emphasizes high-quality authorizing of new charter schools through the *New York State Quality Charter Authorizer Partnership (NYSQCAP)*. The focus on collaboration and quality authorizing will help maintain charter quality amidst rapid expansion. The project will incentivize the development of high-quality charter schools that meet specific needs—especially those of educationally disadvantaged students—by awarding significantly increased planning and implementation grants to applicants who intend to serve target populations with specific program designs. The project also focuses on the identification and dissemination of successful charter schools through a Race-to-the-Top style dissemination subgrant competition. Finally, the project proposes a robust, comparative study to monitor and analyze student achievement gains over the five-year grant period. This proposal demonstrates that New York has both the capacity and expertise to significantly expand the number of high-quality charter schools available to students in New York State.

New York State Charter School Program Project, 2011-2016
New York State Education Department, Charter School Office
89 Washington Avenue, Albany, NY 12234
Project Director: Barbara J. Moscinski
Contact Information: 518-474-1762; charterschools@mail.nysed.gov

Project Narrative

Project Narrative

Attachment 1:

Title: Pages: Uploaded File: **1252-NYSED_84.282A_FY11Application_ProjectNarrative_031611final.pdf**

**New York State Education Department
 FY2011 Application for Grants Under the Charter Schools Program
 (CFDA Number: 84.282A)
 New York State Charter Schools Program Project, 2011–2016
 Project Narrative**

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Note: The current major active charter school authorizing entities in New York State are:

- New York State Board of Regents (Regents), as administered by the New York State Education Department (NYSED)
- State University of New York (SUNY) Board of Trustees (Trustees), as administered by the Charter Schools Institute (Institute), and
- New York City Chancellor of Education (Chancellor), as administered by the New York City Department of Education (NYCDOE)

(The Buffalo Board of Education currently authorizes two schools, but has not actively sought to authorize new charter schools since 2004). A new partnership between these active authorizers will be developed—the ***New York State Quality Charter Authorizer Partnership (NYSQCAP)***—to support the implementation of the 2011–2016 federal Charter Schools Program (CSP) and the creation of high-quality public charter schools under Article 56 of the New York State Education Law, the NYS Charter Schools Act of 1998 as amended in 2007 and 2010 (“NYS Charter Schools Act”, “the Act”), (Ed Law §§2850-2857). This collaboration is a commitment by these authorizers to ensure that all charter schools in New York State will be of the highest quality. See [Selection Criteria \(v\)](#) for additional details.

1. Competitive Preference Priorities

Competitive Preference Priority 1: Periodic Review and Evaluation (10 points)

The State provides for periodic review and evaluation by the authorized public chartering agency of each charter school at least once every five years, unless required more frequently by State law, to determine whether the charter school is meeting the terms of the school's charter, and is meeting or exceeding the student academic achievement requirements and goals for charter schools as provided under State law or the school's charter.

All charter entities in New York State periodically review and evaluate the charter schools they oversee in the areas of operations, governance, fiscal soundness, and academic progress at least once every five years. In addition, charter entities periodically assess the degree to which the charter school is meeting the terms of its charter and fulfilling its mission and vision. Quantitative and qualitative evidence is gathered and assessed through a combination of desk audits, independent fiscal audits, on-site visits, school self-reporting and third-party school quality review visits during the five-year term of a New York charter.

Once a New York State charter authorizer has awarded a charter on the basis of the rigorous review of a successful charter application, the new charter school accepts increased autonomy in exchange for increased accountability: a charter school must demonstrate results within five years or risk losing its charter. This increased autonomy coupled with increased accountability infuses all aspects of the oversight of charter schools, beginning with a rigorous application process that groups must go through to receive a charter. In order to ensure that all charter schools are of the highest quality, Ed Law §2851(2)(a) through (x) identifies four main areas of periodic evaluation and review: operations, governance, fiscal soundness, and academic progress.

Annual reports submitted to the charter authorizer and Board of Regents no later than the first day of August of each year must include a charter school report card including measures of comparative academic and fiscal performance of the school per Ed Law §2857(2). Such measures of academic performance include graduation rates, performance of students on

standardized tests, and college entry rates. In addition, there must be a discussion of the progress made towards achievement of the goals set forth in the charter (Ed Law §2857(2)(b)).

Ed Law §2853(2) provides that “the board of regents and charter entity shall oversee each school approved by such entity, and may visit, examine into and inspect any charter school, including the records of such school, under its oversight. Oversight by a charter school entity and the board of regents shall be sufficient to ensure that the charter school is in compliance with all applicable laws, regulations and charter provisions.” All charter entities in the State conduct regular school visits during the school’s five-year charter term, utilizing both charter entity staff as well as contracting with external educational experts. These visits are documented in site visit reports, which become part of a charter school’s record for purposes of renewal.

Ed Law §2851(4) delineates several items required to be included in renewal applications. Those items include a report of the progress of the charter school in achieving its educational objectives; a detailed financial statement that will allow comparison to the costs of other schools; copies of annual reports, charter school report cards, and certified financial statements; indications of parent and student satisfaction; and the means by which the charter school will meet or exceed enrollment and retention targets of students with disabilities, English language learners, and students who are eligible applicants for the free and reduced price lunch program, which shall be considered by the charter entity prior to approving such charter school’s application for renewal.

In order for a charter school to earn a renewal of any term (up to five years) the charter authorizing entity must make a positive recommendation to the Board of Regents to renew the school’s charter that includes the following findings per Ed Law §2852(2) and 2851(4): “(a) the charter school described in the [renewal] application meets the requirements set out in this

[Article 56 of the Ed Law], and all other applicable laws, rules and regulations; (b) [the school] can demonstrate the ability to operate in an educationally and fiscally sound manner; [and] (c) granting the application is likely to improve student learning and achievement and materially further the purposes set out in [Ed Law §2850(2)].” By making such findings, it is acknowledged that the charter school is meeting the terms of the school’s charter and is meeting or exceeding the student academic achievement requirements and goals for charter schools as set forth under the Ed Law or the school’s charter.

Authorizer decisions to recommend the renewal, non-renewal, or revocation of a school’s charter must be voted on during a meeting held in compliance with New York State’s Open Meetings Law (NY Public Officers Law Article 7), and Ed Law §2857(1) includes provisions for notification and public hearings, for communities impacted by proposed charter school renewal. These recommendations must then be acted upon by the Board of Regents in a public meeting to formally issue a renewal charter. A failure of the authorizer to affirmatively renew or extend a school’s charter during the periodic review that takes place at least once every five years would result in the charter school being closed. In the case of local school district authorizers, the Board of Regents may also vote to not approve a charter renewal approved by the district, in which case the school would be closed and the dissolution process would begin.

Competitive Preference Priority 2: Number of High-Quality Charter Schools (8 points)

The State has demonstrated progress in increasing the number of high-quality charter schools that are held accountable in the terms of the schools’ charters for meeting clear and measurable objectives for the educational progress of the students attending the schools, in the period prior to the period for which an SEA applies for a grant under this competition.

Ed Law §2852(2) defines high-quality charter schools as those that “operate the school in an educationally and fiscally sound manner” and have demonstrated that they can steadily “improve student learning and achievement.” Since the enactment of the original NYS Charter Schools Act in 1998, thoughtful expansion of charter schools and enactment of meaningful

oversight and accountability measures have provided students and communities with high-quality educational options.

The high quality of New York State’s charter schools is evidenced by our robust charter school outcomes, particularly in New York City. A study¹ by Stanford University economist Caroline Hoxby showed that New York City charter school students are more likely to be proficient in math and reading than students in the nearest comparable public school (Hoxby et al, 2009). Students attending a New York City charter school from kindergarten through 8th grade would close about 86 percent of the achievement gap in math and 66 percent of the achievement gap in English by the time they entered high school. The study also found that students attending a charter high school from grades nine through 12 had about a 28 percent higher probability of earning a Regents diploma. Further, Hoxby’s study shows that charter school students’ gains in academic achievement, relative to their traditional public-school peers, tend to increase as the charter schools mature. Subsequently, a report issued by the Center for Research on Education Outcomes (CREDO), also at Stanford University, found that charter schools in New York City are demonstrating significantly better results for their students in reading and math than their traditional public school counterparts. These trends were consistent for students overall, as well as for several key groups, including black and Hispanic students in both subjects and for students who had not previously done well in traditional public schools in the subject area of reading. Other key groups include students in poverty and students enrolled for at least two or more years in math. These trends were consistent for all students regardless of how long they were enrolled.

¹ See <http://www.nber.org/~schools/charterschoolseval/>.

In addition, the CSP Monitoring Report prepared by WestEd in June 2009 on behalf of the U.S. Department of Education (ED) noted that New York State’s “consistent, focused attention on its grant and charter school objectives guides its program implementation and helps drive the creation of high-quality charter schools in the State.” It also reported that “monitoring and performance is another strong point in New York State’s CSP. Oversight of charter schools for both program compliance and performance is exceptionally comprehensive, rigorous, and persistent.”

New York State has historically incubated quality charter school networks that have scaled up and replicated across the State. Nationally recognized charter school organizations such as Uncommon Schools, Achievement First, and Knowledge is Power Program (KIPP) all have roots in New York State, serving the State’s most underserved students. National and local philanthropic partners have supported school choice and public charter schools in New York State from the beginning, and are eager to partner in this expanding initiative. At present, there are several additional high-quality independent charter schools that are considering replication and the New York City Charter School Center is creating a replication assistance program to spur growth and increase pace while maintaining quality.

From their inception in 1998, public charter schools in New York State have benefited from a quality authorizing environment, public demand, and a sophisticated network of support partners. New York State has consistently been recognized as a leader in the charter school initiative. The NYS Charter Schools Act (“the Act”) granted the Board of Regents, the SUNY Trustees and local school districts authorizing power for the purpose of organizing and operating independent and autonomous public charter schools. The Act also outlined the Board of Regents’ responsibility for the dual oversight of all public charter schools in the State in partnership with

any other authorizer. Both the Regents and Trustees are committed to holding schools accountable for student achievement results. In particular, SUNY has developed a set of rigorous renewal benchmarks that establish a rigorous standard, and the Trustees have closed eight charter schools to date for failing to meet the requirements of their academic Accountability Plans.

New York State has been thoughtful and responsive to charter school growth in the State. Between 1999 and 2007, authorizers in the State awarded charters to 100 school governing boards and their new schools. In 2007, the cap was raised to 200 charter schools, largely due to the demand for quality charter schools and the ready supply of community-based start-up schools and network providers.

Over the past four-year period, public charter school enrollment has steadily increased. In the 2010–11 school year, New York State has 171 operating charter schools serving 57,000 students, with an additional 25 schools authorized to open within the next year. The State expects our currently authorized charter schools to enroll more than 87,000 total students as they add grades in fulfillment of their charters. The historic passage of Chapter 101 of the NYS Laws of 2010, which amended the NYS Charter Schools Act, allows for the creation of an additional 260 charter schools (for 460 total plus unlimited conversions) and enacts several accountability and oversight enhancements to ensure quality and integrity. New York State is once again well-positioned to support the next generation of high-quality charter schools. See [Selection Criteria \(iii\)](#) for a reasonable estimate of the number of new high-quality charter schools that will be opened in New York State over the next five years. NYSED intends to use this CSP grant project in combination with an overall strategic planning process being facilitated by the National Association of Charter School Authorizers (NACSA) to ensure that all charter schools operating in New York State by the end of the 5-year grant period will be of the highest quality.

Competitive Preference Priority 3: One Authorized Public Chartering Agency Other than a LEA, or an Appeals Process (5 points)

The State – (a) Provides for one authorized public chartering agency that is not an LEA, such as a State chartering board, for each individual or entity seeking to operate a charter school pursuant to State law; or (b) In the case of a State in which LEAs are the only authorized public chartering agencies, allows for an appeals process for the denial of an application for a charter school.

Ed Law §§2851(3)(a), (b) and (c) provide for three charter authorizing entities: the New York State Board of Regents (Regents), as administered by the New York State Education Department (NYSED); the State University of New York Board of Trustees (Trustees), as administered by the Charter Schools Institute (the Institute); and the boards of education of school districts so long as any charter schools authorized are located within the district. The New York City Chancellor of Education is specifically recognized as the authorizer for New York City and the New York City Department of Education (NYCDOE) administers the charter program for the Chancellor. The Regents, Trustees and New York City Chancellor of Education are active authorizers. The Buffalo Board of Education currently authorizes two schools, but has not actively sought to authorize new charter schools since 2004. Both the Board of Regents (a SEA) and SUNY are statewide authorizers that are not LEAs, and together they have approved more than 60% of the charters in New York State. A change in New York’s chartering law will only permit approval of new charters by the Board of Regents and SUNY (Ed Law §2852(9-a)).

In 1998, the New York Legislature thoughtfully designed a multiple authorizer environment that included the SEA (the Regents), which had institutional K-12 educational knowledge, an independent higher education institution (the SUNY Trustees), which prepared teachers for K-12 educational careers, and also would allow school districts (LEAs) to decide whether or not they would authorize charter schools. The design allowed at least two and perhaps three avenues for new charter operators anywhere in the State to pursue a charter and was thought to promote quality through competition. The strong charter school student outcomes

outlined in this application evidence the success of the design of New York State’s authorizing environment. All three types of authorizers have also decided either not to renew charter schools or convinced the schools to cease operation, which increases the quality of the remaining charter schools in the State. Both NYSED and SUNY work closely with NACSA to ensure authorizer practices are continually refined. NYSED is a 2010 NACSA grant recipient working with NACSA to evaluate and improve authorizing practices. SUNY’s Charter Schools Institute is an invited partner in the NACSA’s 2010-2013 Federal National Charter School Leadership Activities Grant “Performance Management, Replication & Closure.” In this grant, SUNY joins with NACSA and the Counsel of Chief of State School Officers in defining and implementing leading policies and practices related to the areas of charter school authorizing.

SUNY’s independent authority to grant charters is a unique statutory feature that contributes to a high quality authorizing environment in New York. Though the Regents review and can initially disapprove a proposed SUNY charter, unlike the LEA authorizers, SUNY can override that determination through resubmission of the charter. This allows SUNY to draw on the educational expertise of the Regents without being bound by it, furthers innovation and provides choice to charter school operators.

The National Alliance for Public Charter Schools released a ranking of charter school laws in January 2011², after many states revised law in response to the federal Race to the Top competition. The Alliance assessed the nation’s 40 state charter laws and the charter law for the District of Columbia against a composite “model charter law,” highlighting four key quality control measures:

- Transparent Charter Application, Review, and Decision-Making Processes
- Performance-Based Charter Contracts Required

² See http://www.publiccharters.org/files/publications/NAPCS_LawRankings_V12_Full.pdf.

- Comprehensive Charter School Monitoring and Data Collection Processes
- Clear Processes for Renewal, Non-Renewal, and Revocation Decisions

New York State’s law ranked fifth in the country in the Alliance’s assessment, and is one of a handful of states that provides multiple authorizers to charter applicants and ensures schools’ operational autonomy.

Competitive Preference Priority 4: High Degree of Autonomy (5 points)

The State ensures that each charter school has a high degree of autonomy over the charter school’s budgets and expenditures.

Please see [Selection Criteria \(ii\)](#) for the response to this competitive preference priority.

Competitive Preference Priority 5: Improving Achievement and High School Graduation Rates (12 points)

Projects that are designed to address one or more of the following priority areas: Accelerating learning and helping to improve high school graduation rates and college enrollment rates for (a) students in rural local educational agencies; (b) students with disabilities; (c) English learners; (d) high-poverty schools.

Ed Law §2854(2)(a) states that every “charter school[s] shall demonstrate good faith efforts to attract and retain a comparable or greater enrollment of students with disabilities, English language learners, and students who are eligible applicants for the free and reduced price lunch program when compared to the enrollment figures for such students in the school district in which the charter school is located.” This provision ensures that all charter schools, including those serving students in the high school grades, provide high-quality services to each of these student populations. In 2010, Ed Law §2855(1) was amended to make repeated failure to meet enrollment and retention targets in these three subgroups grounds for revocation of a charter. NYSED and SUNY are currently engaged in a collaborative project to develop the numeric parameters for this new legal requirement, as well as guidance for schools on how to recruit students and meet these demographic targets.

Additionally, policy decisions at the State level have helped to raise the standards for high school students across the State. For example, the Board of Regents has repeatedly raised

the standards for high school diplomas in order to increase both college readiness and preparedness in subjects such as science (including laboratory work, technology and mathematics). Notably, while the number of credits required for graduation has increased since 2001 from 18.5 credits to 22 credits, New York State's graduation rates for general education students have steadily increased. In addition, New York City, with nearly one-third of the State's students, has opened over 250 small high schools since 2003 and has created multiple pathways to graduation for students who are over-age and without enough credits to graduate, contributing to an impressive 10 percent increase in the city's high school graduation rate since 2005.

Unfortunately, while making progress in nearly all student subgroups, the State has not made enough progress towards improving achievement and high school graduation rates for students in rural areas, those with disabilities, English language learners, or those in high-poverty schools. For example, the graduation rate for English language learners rose from 30% in 2006 to 39% in 2009, and the graduation rate for economically disadvantaged students rose from 56% to 62% over the same period. While the State has shown steady improvement in this area, it is clear that new strategies are needed. Nowhere is this need for new approaches more evident than with our students with disabilities, where the graduation rate actually decreased from 43% to 42% over the period. In response to these figures, the CSP grant will play an important role in meeting the needs of these target populations going forward. Specifically, New York State will offer significant CSP grant monetary incentives as described in [Selection Criteria \(i\), Project Objective 1, Activity 2](#) to schools that have met demographic targets in their first operating year (up to 25% additional funding over the base amount) or specific authorizer program design priorities (up to 50% additional funding over the base amount) that are focused on supporting the achievement of these priority student populations.

Competitive Preference Priority 6: Promoting Student Diversity (5 points)

Projects that are designed to promote student diversity, including racial and ethnic diversity, or avoid racial isolation.

Charter schools in New York State have successfully served students with a diverse range of disabilities, first languages, and those from low-income families. However, recent data suggest that racial minority students in New York charter schools remain relatively isolated. In response to the relatively isolated status of minority students in charter schools, New York State will encourage and support the creation of racially diverse charter schools by providing CSP monetary incentives to charter schools that can demonstrate a comprehensive plan for encouraging the enrollment of a racially diverse student body (see [Selection Criteria \(i\), Project Objective 1, Activity 2](#)). Existing charter schools will also receive technical assistance in interpreting federal guidance on implementing legally permissible school-based policies that further racial diversity in the student body through presentations and sessions by NYSED staff. New York State will highlight and promote successful strategies and diversity plans of existing charter schools and successful subgrantees by posting these plans on the NYSED website.

This information may be combined with admissions policies that take advantage of Ed Law §2854(2)(a) that permits charter schools that have at-risk program design factors to admit larger percentages of students who are considered at-risk, such as English Language learners; those who qualify for the federal Free and Reduced Price Lunch Program; and/or attend or are zoned to attend failing schools. Combining the at-risk factors—which tend toward certain demographics in a given area—with the existing statutory admissions residency preference for school district of location that is also part of Ed Law §2854(2), would help schools create a more diverse student population; especially when linked with targeted recruiting as set forth in the admissions policy of the proposed school. The United States Supreme Court has offered specific guidance to schools regarding legally permitted ways to further racial diversity ([Parents Involved](#)

in Community Schools v. Seattle School District No. 1, 551 U.S. 701 (2007) (Justice Kennedy Concurrence)). New York State will provide enhanced CSP grants to those applicants who demonstrate a comprehensive plan addressing one or more of the following:

- **Program design and recruitment to encourage diversity:** Subgrantees can demonstrate a program design that is likely to appeal to a wide range of families, including particularly specialized program designs (e.g., arts-infused, democratic education). Subgrantees should demonstrate comprehensive outreach plans to all racial, ethnic and linguistic groups that fully and deliberately inform families about application deadlines in multiple languages and formats (e.g. bulletin postings, radio, local television, and internet). Schools should create application materials in multiple languages and offer assistance to families in completing applications.
- **Transportation:** Subgrantees can demonstrate a plan for providing transportation for charter school students who may not otherwise be able to attend the school due to financial or transportation limitations. Transportation plans such as these may be potentially “integrative” if it allows students to cross neighborhood boundaries more readily (Frankenberg, Siegel-Hawley & Wang, 2010).
- **School location:** Subgrantees can demonstrate that the facilities plan includes the placement of the school building on the boundaries between racially distinct neighborhoods, or near the margins of urban and suburban areas.
- **Regional charter schools:** Subgrantees can propose regional charter schools. Evidence from other states has shown that regional charter schools that draw from several surrounding towns can be racially diverse schools and simultaneously serve a diverse range of student needs including low-income students, students with disabilities, and students from rural

LEAs. For example, the Lowell Middlesex Academy Charter School, located in Lowell, Massachusetts, serves a racially diverse student body comprised of students from the Lowell School District and those from at least 6 surrounding towns.

Competitive Preference Priority 7: Improving Productivity (5 points)

Projects that are designed to significantly increase efficiency in the use of time, staff, money, or other resources while improving student learning or other educational outcomes (i.e., outcome per unit of resource). Such projects may include innovative and sustainable uses of technology, modification of school schedules and teacher compensation systems, use of open educational resources, or other strategies.

In a recent white paper by the Charter School Growth Fund and the Innosight Institute (Horn & Staker, 2011), the authors cite examples of online and “blended” instruction in charter schools that are “driving productivity” and increasing the efficiency of staff. They note that, “[i]n many cases, blended learning is giving schools opportunities to re-think the role of teachers in profound ways that better serve students and increase job satisfaction.” In response to the need for innovative uses of technology and modification of school schedules, effective June 8, 2011, the Regulations of the NYS Commissioner of Education authorizes the awarding of credit for completion of online or blended coursework (8 NYCRR 100.5(d)(10)). This regulation in combination with the NYS Charter Schools Act will allow New York State to provide enhanced CSP grants (see [Selection Criteria \(i\), Project Objective 1, Activity 2](#)) to applicants who show evidence of a carefully designed blended or online program that meet the following criteria (adapted from 8 NYCRR 100.5(d)(10)): (i) The program must outline how students will complete a unit of study and demonstrate mastery of the learning outcomes for the subject, including passing the Regents examination in the subject or other assessment required for graduation, if applicable. And, (ii) The subgrantee must demonstrate that: (a) courses are aligned with the applicable New York State Learning Standards for the subject area; (b) courses provide for documentation of student mastery of the learning outcomes for such subjects, including passing the Regents examination in the subject or other assessment required for graduation, if

applicable; (c) instruction is delivered by and/or under the direction/ supervision of a teacher of the subject area in a registered charter or district school; and (d) the program includes regular and substantive interaction between the student and the teacher providing direction and/or supervision.

2. Invitational Priority

Invitational Priority: Support for Turnaround Schools

The Secretary is particularly interested in projects that are designed to turn around persistently low-performing schools by providing support for one or both of the following types of activities: (1) the creation of a charter school in coordination with an LEA in the vicinity of one or more public schools closed as a consequence of the LEA implementing a restructuring plan under section 116(b)(8) of ESEA; or (2) the creation of a new charter school under the restart model of intervention as described in the Final Requirements for School Improvement Grants as Amended in January 2010. Under the restart model of intervention, an LEA converts a school into a charter school or closes and reopens a school under a charter school operator, a charter management organization, or an education management organization that has been selected through a rigorous review process.

In early 2010, the NYS Education Department created the Office of Innovative School Models (OISM), in which the Charter School Office (CSO) is housed. The Regents charged OISM with supporting the creation of new school models to serve as successors to low-achieving schools that have been phased out, closed, transformed, turned around, or restarted; and redefining the charter authorizing work of the Regents. By combining oversight of the charter authorizing and turnaround processes in one office, NYSED has adapted the “best-in-class” charter authorizing processes for which New York State is known and applied these practices to NYSED’s efforts to turn around persistently low-performing schools. In addition to formal school turnaround models, public charter schools are a key element of New York State’s school turnaround strategy. The State is looking to our veteran charter school network operators such as Uncommon Schools, KIPP and Achievement First, as well as successful start-up school governing boards to take on the challenge of creating an alternative for students and communities. OISM will provide support and oversee efforts to help LEAs transform their persistently lowest-performing schools into charter schools.

Much of this overall strategic work is supported in part by New York State's successful bid to secure \$696,646,000 in Race to the Top funding. NYSED proposes to build on this work by leveraging new CSP grant funds in two specific ways. First, NYSED will incentivize high-quality charter operators to take on the work of school turnaround by providing them with up to 50% additional CSP planning and implementation funding for SIG-like restart efforts. This strategy is further described in [Selection Criteria \(i\), Project Objective 1](#). Second, NYSED will also give preference for significant, 3-year dissemination subgrants to high-performing charter schools who propose to partner with persistently low-performing schools. This strategy is further described in [Selection Criteria \(vi\)](#).

3. Application Requirements

Application Requirement (i): Objectives

Describe the objectives of the SEA's charter school grant program and describe how these objectives will be fulfilled, including steps taken by the SEA to inform teachers, parents, and communities of the SEA's charter school grant program.

Please see [Selection Criteria \(i\)](#) for the response to this requirement.

Application Requirement (ii): Federal funds eligibility

Describe how the SEA will inform each charter school in the State about Federal funds the charter school is eligible to receive and Federal programs in which the charter school may participate.

Each charter school in New York State is eligible for all funding available under ESEA and IDEA. NYSED staff from offices that oversee the distribution of funding under ESEA use three main mechanisms to inform charter schools about specific Federal funds they are eligible to receive. These mechanisms include the NYSED website, email blasts to charter schools through NYSED email distribution lists, and the inclusion of charter schools in regional meetings for all special education, entitlement, and Race to the Top grant programs. The NYSED website (<http://www.p12.nysed.gov/funding/currentapps.html>) provides extensive resources related to all Federal funding programs, which include information about each program, eligibility

requirements for each program, application submission instructions, and technical assistance webinars. NYSED also has a webpage (<http://www.p12.nysed.gov/nclb/>) dedicated to aspects of the NCLB Act, including program descriptions, allocations, upcoming workshops, parent and community involvement, and contact information.

NYSED's Charter School Office (CSO) is the primary contact for charter schools and helps ensure that charter schools are informed of all Federal funds available to them. The CSO coordinates with other NYSED offices, including the Office of Grants Finance, to provide all public schools and charter schools with information about allocation amounts, fiscal guidelines, budgeting procedures and forms, and resources associated with accessing the Federal grant programs at their website: <http://www.oms.nysed.gov/cafe/>.

The CSO conducts annual training for new charter schools and personnel new to operating charter schools to ensure that they are aware of the full array of the federal funds and programs available to them. Staff from various NYSED offices present information and provide technical assistance to new charter schools at training sessions.

In New York State, funds available under IDEA are provided from each student's resident district based on the student's full-time equivalent (FTE) attendance calculation and the amount of services actually being provided to the student by the charter school. Charter schools are informed through the application and charter approval process of the availability of IDEA funds through their students' resident districts and their obligation to report child count data to the resident district. The CSO works with districts and charter schools to ensure that the appropriate level of funding is provided to charter schools. In the event a school district fails to fulfill its financial obligation, there is a procedure in place (called "state intercepts") for the State

to deduct unpaid obligations from state aid due to the district and remit those funds directly to the applicable charter school.

In December of 2008, USED, through its contractor WestEd, conducted a monitoring visit for NYSED's CSP grant program. This Application Requirement (ii) was specifically evaluated by the monitoring team; NYSED received the highest rating of 3. WestEd stated: "State fully meets the indicator. The State demonstrated that each charter school is informed about available Federal funds and Federal programs they may be eligible to participate in and is provided assistance in applying for Federal education funds that are allocated by formula, including assistance with filing deadlines and submission of applications."

The NYSED will continue to use the above mentioned outreach methods to inform charter schools in the State about Federal funds the charter school is eligible to receive and Federal programs in which the charter school may participate.

Application Requirement (iii): Commensurate share of federal funds

Describe how the SEA will ensure that each charter school in the State receives the school's commensurate share of Federal education funds that are allocated by formula each year, including during the first year of operation of the school and a year in which the school's enrollment expands significantly.

Upon issuance of a new charter, CSO staff send an email to all State agencies and offices involved with nutrition, Title funding, and special education notifying them of the addition of that school and providing the school's new Basic Educational Data System (BEDS) code. Charter schools are entitled to apply for funds under all federal education fund programs for which New York State uses a single consolidated application. NYSED publishes both preliminary and final allocation amounts for all LEAs, including charter school LEAs, on our website. NYSED's Office of Grants Finance sends out award letters to each LEA (including charter school LEAs) when the allocations are published. The final allocation process, which is described in detail below, was specifically created to ensure that charter school LEA allocations

reflect the current year's enrollment figures, including schools that experienced dramatic increases or opened for the first time during a particular year, and assures that a first-year allocation is made available within five months of the day of opening for new charter schools.

Charter schools have applied for eligible federal funds since the 2001–2002 school year. To ensure that all new and significantly expanding charter schools receive their commensurate share of federal funds, NYSED collects enrollment data and other information twice a year. In April of each year, NYSED collects an estimate of the number of students to be enrolled in a new charter school or in an expanding charter school and uses these estimates to calculate preliminary allocations of federal funds to these charter schools. In the fall, NYSED collects enrollment information again and the number of students eligible for free and reduced price lunch (FRPL) to calculate the final allocations of the federal funds for the charter schools. NYSED notifies them of their federal fund allocations by email and announcements of the NYSED webpage. Allocations amounts—for all public school LEAs, including charter school LEAs—are then updated to reflect current year enrollment figures. CSO staff work with staff in other offices in the NYSED to ensure that charter schools receive accurate and timely allocations. The CSO is able to track payments of allocations to charter schools through NYSED's internal tracking system. Charter schools are also eligible to participate as LEAs under the State's Race to the Top program (76 have elected to participate), and are included as equal participants in all communications and activities conducted for Race to the Top participants.

Application Requirement (iv): Dissemination to each LEA in the State

Describe how the SEA will disseminate best or promising practices of charter schools to each local educational agency (LEA) in the State;

Please see [Selection Criteria \(vi\)](#) for the response to this requirement.

Application Requirement (v): Revolving Loan Fund.

If an SEA elects to reserve part of its grant funds (no more than 10 percent) for the establishment of a revolving loan fund, describe how the revolving loan fund would operate;

NYSED will not establish a revolving loan fund under this program.

Application Requirement (vi): Request for Waivers

If an SEA desires the Secretary to consider waivers under the authority of the CSP, include a request and justification for any waiver of statutory or regulatory provisions that the SEA believes is necessary for the successful operation of charter schools in the State.

Waiver Request 1: CSP Grant Period Extension

NYSED respectfully requests that the Secretary waive the limitation in Section 5202(c)(1) of the Elementary and Secondary Education Act of 1965, as amended (ESEA), which authorizes the Secretary to award CSP grants to State Educational Agencies (SEA's) "for a period of not more than 3 years" to allow NYSED to receive a CSP grant for a period of 5 years. Lengthening the award period will allow NYSED the appropriate time to successfully complete all project goals and objectives in order to further ensure the creation of high-quality charter schools within the State made possible by the 2010 amendments to the NYS Charter Schools Act.

Waiver Request 2: Dissemination Grant Award Period Extension

NYSED is requesting a waiver to extend the period of dissemination grants awarded to subgrantees from two to three years. We believe this extension will allow high performing charter schools to more effectively partner with a turnaround (or restart) school as described in the [Invitational Priority](#) and [Selection Criteria \(vi\)](#).

High-performing charter schools in New York State have developed partnerships with other traditional public schools and have disseminated information designed to increase student achievement, aided in the start-up of new charter schools, and developed assessment systems for evaluating themselves and other schools. However, turnaround work takes time, and two years may not be sufficient. Turnaround or restart models requiring partnerships between LEAs and a

charter school is extremely difficult, complicated work. We believe successful dissemination models will require three years to fully capture the successes at these sites, which aligns with the period of time that is specified for School Improvement Grant awards under Title I, 1003(g).

Waiver Request 3: Awarding Dissemination Grants to Previous Subgrant Recipients

Additionally, we are requesting a waiver that would allow high-performing charter schools to receive a second dissemination award. Some of our most effective schools—those that have already received dissemination grants—have continued to develop new, successful strategies for serving students but have thus far been ineligible to receive a second round of funding under federal regulations. We believe this limits our options for awarding monies to the highest-quality charter schools, particularly given the priorities and structure of the dissemination subgrant competition described in [Selection Criteria \(vi\)](#). Experience has shown that our most successful schools are those that continuously produce high levels of student performance over many years, and these schools have developed new, innovative strategies for doing so over time.

Application Requirement (vii): Charter school compliance with IDEA

Describe how charter schools that are considered to be LEAs under State law and LEAs in which charter schools are located will comply with sections 613(a)(5) and 613(e)(1)(B) of the Individuals with Disabilities Education Act.

Ed Law §2853(4) provides, “Special education programs and services shall be provided to students with a disability attending a charter school in accordance with the individualized education program recommended by the committee or subcommittee on special education of the student’s school district of residence. The charter school may arrange to have such services provided by such school district of residence or by the charter school directly or by contract with another provider.” Thus, charter schools are **not** considered to be LEAs for the purpose of providing special education programs and services. Ed Law §2853(2) provides, in part, “Oversight by a charter entity and the board of regents shall be sufficient to ensure that the charter school is in compliance with all applicable laws, regulations and charter provisions.”

To ensure that all schools, including charter schools, continue to receive the best possible information about special education programs and requirements, the Office of Special Education merged with Senior Deputy John B. King, Jr.'s P-12 Education Office in July 2010. The needs of students with disabilities are now integrated into all policies developed by the various offices of NYSED. All charter authorizers conduct regular formal and informal monitoring visits, to visit classrooms, review records, and interview parents, teachers, administrators, and board members to ascertain compliance with charter provisions and applicable statute and regulation. Any instances of non-compliance are noted, and the school is required to take all necessary steps to ensure such compliance. In order to ensure specific compliance with all aspects of IDEA, including but not limited to IDEA sections §§613(a)(5) and 613(e)(1)(B), CSO staff also coordinate with NYSED's Office of Special Education staff to conduct specific IDEA-focused desk audits and on-site monitoring visits of all charter school LEAs in New York State, and takes enforcement action with the charter school and district committee on special education as appropriate.

4. Selection Criteria

Selection Criteria (i): Assisting educationally disadvantaged and other students (20 points)

The contribution the charter schools grant program will make in assisting educationally disadvantaged and other students to achieve State academic content standards and State student academic achievement standards.

The purpose of the CSP grant project in New York State is consonant with the purpose of the NYS Charter Schools Act to increase "learning opportunities for all students, with special emphasis on expanded learning experiences for students who are at-risk of academic failure" (Ed Law §2850(2)(b)). Ed Law §2852(c) states: "In reviewing applications, the charter entity is encouraged to give preference to applications that demonstrate the capability to provide

comprehensive learning experiences to students identified by the applicants as at risk of academic failure.”

NYSED’s CSP grant project objectives and activities, as described below, demonstrate how New York State will leverage high quality charter authorizing and CSP grant funds to assist educationally disadvantaged and other students to achieve New York State academic content and achievement standards.

Project Objective 1: Increase the number of high-quality charter schools in New York State, especially those serving students who are at greatest risk of not meeting State academic standards.

NYSED will achieve this objective through the following activities:

Activity 1: Quickly award post-charter planning and implementation grants to all newly authorized charter schools in New York State.

Federal CSP grant funds are key to the successful development and implementation of new, high-quality charter schools in New York State. Over the past several years, CSP subgrantees have repeatedly expressed frustrations with the time lag between the date on which the charter is issued and the date on which CSP funding begins to flow, due to separate CSP grant competitions conducted after an extensive and rigorous charter authorization process. In recent conversations with new charter school founders, one new school developer stated:

“Tying CSP grant money to the charter award process makes sense. Once we have written our charter applications, we have in essence written a very thoroughly researched and defended grant application. To turn around and write a separate grant application within a short period of time seems redundant. In order to launch the quality educational programs we are proposing, immediate access to CSP start-up funds is essential.”

To address this concern, NYSED will work with the other major active authorizers in the State to *integrate* the charter authorization review processes with the CSP grant review process. Each charter school that is approved to open in New York State would receive a base-level grant of up to **\$500,000**, by virtue of having been approved through the rigorous new school approval process of a New York State charter school authorizer. Such review includes: extensive peer and external review (see [Selection Criteria \(iii\)](#) for full details); is aligned with the NACSA's *Principles & Standards for Quality Authorizing*³; and meets the criteria of the New York State Charter Schools Act (the Act) which places special emphasis on serving high-need, at-risk students. As previously described, the May 2010 amendments to the Act restrict the issuance of new charters under the new 460-school cap to the Board of Regents and the SUNY Trustees, both of whom have already established high quality charter authorization processes and agreed to the integrated charter authorization and CSP grant review process. In the case of conversion charters that will be authorized by local school districts, NYSED will leverage its role as the CSP grant administrator to ensure that federal CSP grant quality requirements (such as a rigorous peer review process) are integrated into their charter authorization processes. The integrated authorization/grant review process has several key advantages:

- NYSED will make 36-month post-charter planning and implementation grants quickly available to all applicant groups that are issued charters to operate a public charter school in New York State, regardless of authorizer. The statutory timeline outlined for the charter school application process for both the Regents and Trustees specifies a RFP announcement annually in January and decisions made no later than December 31 of that year (though both the Regents and Trustees have agreed to a September decision timeframe), for school

³ It should be noted that the SUNY Trustees' charter application process and policies won NACSA's award for high quality authorizing in 2010.

openings the following September. This timeframe allows for a thorough peer review process between January and summer of a given year, and provides successful applicants with the ability to access a full 36 months of start-up funds (up to 12 months of planning and 24 months of implementation funding).

- Charter school founding groups who receive a charter will receive a base level of start-up funding, with clear fund flow timing, which will allow them to focus on key start-up activities and purchases, rather than fundraising.
- The determination of which applicants merit a CSP grant award will be rigorous and holistic since it is integrated with the charter authorizer’s review and decision process to award a charter: this process is focused on the overall capacity of the applicant to open a high-quality charter school.

Activity 2: Provide significantly increased post-charter planning and implementation grant awards for applicant groups that meet specific incentive priorities.

New York State will incentivize the development of high-quality charter schools that meet specific needs—especially those of educationally disadvantaged students—by awarding significantly increased start-up funding amounts. NYSED will provide additional funding to charter schools that meet two types of incentive priorities:

- 1. Underserved student populations priority.* New York State will provide up to 25% additional CSP grant funding to those charter schools that, by the Oct. 1st student data reporting period in their first year of operation, have met one or more of the demographic targets for students with disabilities, English language learners, and students who are eligible applicants for the free and reduced price lunch program when compared to the enrollment figures for such students in the school district in which the charter school.

2. **Authorizer program design priority.** NYSED will provide up to 50% additional CSP grant funding for those charter schools that the authorizer determines has met one or more program design priorities. (Schools that meet both incentive priorities may not receive more than 50% additional CSP grant funding). As part of the integrated charter authorization and grant review process, each charter authorizer will determine and invite particular program designs as part of their process for inviting new charter applicants. Continuation funding at the enhanced incentive level during the implementation years of the 3-year start-up grant may be dependent on the authorizer's assessment of a charter school's success with implementing the program design priority. The Trustees and Regents, and local boards of education that choose to authorize conversion charter schools will be afforded flexibility about how to tailor these priorities over the five year grant period to respond to emerging needs. Current program design priorities planned by NYSED and other charter authorizers include:

- **Turnaround, Restart & Replication.** New York State would provide an enhanced grant to charter schools approved to operate as a turnaround and restart schools under the federal School Improvement Grant (or those schools that are identified as at risk of becoming Persistently Lowest Achieving under the State's differentiated accountability system), utilizing a proven school design model; or those that will replicate existing high-quality charter schools or school programs, which is a new option included in the 2010 amendments to the NYS Charter Schools Act. NYSED and SUNY are working collaboratively to develop a streamlined approval process for replications of existing high-quality schools as measured by quantitative student achievement and outcome data. These replications of proven school designs must be approved through a peer review process which would include the following factors:

- a minimum threshold of quantitative data, which would include at a minimum, two years of State or nationally-normed testing data to allow for analysis of cohort growth over time;
- a minimum threshold of student achievement data analyzed under two or more factors to include performance of charter school students compared to all students statewide based on free lunch eligibility;
- performance of charter school students compared to the school district of location;
- performance of charter school cohorts over time; and
- performance of charter schools students compared to an absolute State or nationally-normed measure; high school graduation, drop out or college acceptance rates.
- a review of attrition rates, taking account of differences in demographics when making comparisons.
- credible measures of performance of schools serving students in special circumstances making academic growth difficult to measure (e.g., autistic, over-age/under-credited),

The governance, financial plan, leadership and operational capacities of replication schools would be peer reviewed on a school-by-school basis in order to ensure that each school would be able to open and once opened would be renewed at the end of the five year charter term.

- **Rural Programs.** New York would provide an enhanced grant to schools located in school districts that are or have Rural LEAs as defined in the CSP grant notice and serve a majority of students residing in rural LEAs. There is a need for innovation in school design models that work for the particular needs of students in rural areas. Providing additional funding to

all types of high quality charter schools (elementary, middle and high schools) serving students residing in districts with Rural LEAs will accelerate learning and help improve the high school graduation rates and college enrollment rates of those students.

- **Improving Productivity.** New York State would provide an enhanced grant to charter schools proposing the implementation of a technology-rich design that meets the demands of the International Association for K-12 On-line Learning (iNACOL) national standards⁴ and the Digital Learning Council’s report on the ten elements of high-quality digital learning.⁵ The State is particularly interested in projects that meet our preliminary guidelines for “blended” or on-line instructional programs as outlined in [Competitive Preference Priority 7](#). While the particulars of these programs are still evolving and more guidance is forthcoming from Board of Regents and Commissioner’s Office, there are several, measurable targets that subgrantees should develop a plan for meeting (adapted from Horn & Staker, 2011), including comparisons of the productivity gains in resources (money, student/teacher ratios, student seat time) and for students (credits earned, reduced time to master standards) achieved by technology programs versus more traditional programs.
- **Promoting Diversity.** New York State would provide enhanced grants to schools that provide demographic information in their charter applications showing that the proposed location of the school would tend to serve a racially diverse student population as described in [Competitive Preference Priority 6](#).
- **Charter high schools designed to serve over-age, under-credited students.** New York State will provide an enhanced grant to high schools designed to serve over-age, under-credited students. This group of students has persistently low high school graduation rates

⁴ See <http://www.inacol.org/research/nationalstandards/index.php>.

⁵ See <http://www.excelined.org/Docs/Digital%20Learning%20Now%20Report%20FINAL.pdf>.

and low college enrollment rates. Charter schools that propose to serve this at-risk population could take advantage of Ed Law §2854(2)(a) that allows an at-risk design factor to provide for an admissions preference for such students. The application process and peer review of such schools would ensure that the schools were not designed to result only in GEDs; rather the purpose would be to grant NYS Regents diplomas and to have the students enter 2- or 4-year colleges.

Activity 3: Clearly communicate information about charter schools and CSP grant funding

NYSED will work collaboratively with the other authorizers, as well as New York Charter School Association and New York City Charter School Center, to provide a variety of forums (e.g. conference calls, webinars, flyers, e-mail blasts) to inform teachers, parents, and communities about charter schools and the availability of CSP grant funds for both start-up and dissemination. These forums may include regional information sessions (featuring existing charter school leaders, board members, and founding group members) in various communities around the State, with a particular focus on communities where there is an identified need for high-quality educational alternatives. The Dissemination Specialist described in [Selection Criteria \(iv\)](#) will work alongside CSO new schools development staff to conduct these activities. NYSED will also update the organization of our charter school website to allow for easier navigation of information for specific audiences, including all charter schools in the State, charter schools directly authorized by the Regents, parents, and the general public. We will also provide specific links to information posted by other active charter authorizers in the State.

Activity 4: Ensure the ongoing high quality of all existing New York State charter schools.

NYSED expects all charter schools to demonstrate increased student achievement under State and federal laws, particularly for subgroups who have historically been underserved. To

that end, in addition to supporting the high-quality of all newly-authorized charter schools in the State as described in Activity 1 above, NYSED will increase the number of high-quality charter schools in New York State by working in partnership with SUNY and the other authorizers in the State to ensure the high-quality of the *existing* charter school portfolio through the rigorous renewal process outlined in Ed Law §2851(4) and application of NACSA standards for renewal. NYSED will also conduct compliance monitoring activities for all charter schools as required by state (e.g., health and safety) and federal (e.g., Title I and IDEA) law, in addition to specific CSP grant monitoring to ensure appropriate use of CSP grant funds. By the end of the five-year grant project period, all charter schools in New York State will have been renewed with the quality and support oversight proposed as part of this grant project. Project Objective 2 below and [Selection Criteria \(v\)](#) provides specific information about NYSED's strategy to maintain and strengthen charter oversight, authorization, and overall charter school quality in New York State.

Project Objective 2: Strengthen the overall quality of the New York State charter authorizing and CSP grant administrative infrastructure.

NYSED proposes to strengthen the overall quality of the New York State charter authorization and CSP grant administrative infrastructure by eliminating redundant review and reporting processes (as described in [Project Objective 1, Activity 1](#)) and strengthening the collaborative working relationships between active authorizers in the State, described in [Selection Criteria \(v\)](#).

Project Objective 3: Promote the dissemination of New York State charter school best practices to other public schools.

Activities to support this objective are described in [Selection Criteria \(vi\)](#).

Project Objective 4: Improve student achievement outcomes in New York State charter schools, particularly for students who are at greatest risk of not meeting State academic standards.

This final objective is the overall goal of the NYSED CSP grant project, and the activities for [Project Objective \(1\)](#) and [Project Objective \(2\)](#) specifically support this objective. In combination with the dissemination activities of [Project Objective \(3\)](#), this CSP project is designed to support the overall goals of NCLB, the CSP, and New York State Education Law: to improve student achievement for all students and to close achievement gaps.

NYSED plans to conduct a robust, comparative study over the five-year grant period to track and analyze this final objective. Full details are provided in the evaluation plan in [Selection Criteria \(vii\)](#).

Selection Criteria (ii): Charter school flexibility (20 points)

The degree of flexibility afforded by the SEA to charter schools under the State's charter school law.

Ed Law §2853(1)(c) states: “A charter school shall be deemed an independent and autonomous public school, except as otherwise provided in this article. The charter entity and the board of regents shall be deemed to be the public agents authorized to supervise and oversee the charter school.” The January 2011 National Alliance for Public Charter Schools report ranking state charter school laws against a “model” state law noted that New York State charter law “includes all of the model law’s provisions for fiscally and legally autonomous schools with independent public charter school boards.”⁶

Public charter schools in New York State are subject to all laws, rules and regulations affecting health and safety, civil rights, and student assessment applicable to other public schools except as specifically provided in Ed Law §2854(1)(b). Ed Law §2854(1)(e) provides that charter schools are subject to New York State’s Open Meetings Law (NY Public Officers Law §§100-111) and Freedom of Information Law (Public Officers Law §§84-90), as well as certain requirements of the compulsory education of minors law in Article 65 of the Ed Law. However,

⁶ See p.63 of http://www.publiccharters.org/files/pressreleases/2011_NAPCS_StateCharterLawRankingsReport.pdf.

Ed Law §2854(1)(b) goes on further to state that “charter schools are otherwise exempt from all other state and local laws, rules, regulations or policies governing public or private schools, boards of education and school districts, including those related to school personnel and students, except as specifically provided in the school’s charter or this article.” In addition, the NY Charter Schools Act states, “The regulatory power of the board of regents [the SEA] and the commissioner shall not extend to charter schools except as otherwise specifically provided in this article.” (Ed Law §2855(5)).

The administrative relationship of the charter school and the charter entity is defined in statute: “The board of regents and charter entity shall oversee each school approved by such entity, and may visit, examine into and inspect any charter school, including the records of such school, under its oversight. Oversight by a charter entity and the board of regents shall be sufficient to ensure that the charter school is in compliance with all applicable laws, regulations and charter provisions” (Ed Law §2853(2)).

Charter schools are allowed to have up to 30 percent or five teachers who are not certified, whichever is less (Ed Law §2854(3)(a-1)). This allows charter schools to hire some individuals appropriate to their needs. The NY Charter Schools Act specifies no requirements for school administrators. The charter school can hire the individual appropriate for the position. Although charter schools must meet the State’s minimum instructional time in their calendars (Ed Law §2851(2)(n)), they decide on the length of the school day and year including offering some Saturday and summer days of attendance.

Charter schools have flexibility in the educational program they provide by virtue of being freed from “all other state and local laws, rules, regulations or policies governing public or private schools, boards of education and school districts” (Ed Law §2854(1)(b)). Most charter

schools have flexibility with teacher contracts. Except for conversion charters schools (Ed Law §2853(3)(b)), all new schools that enroll less than 250 students during the first two years may be started without a unionized work force, though personnel have the right to organize (Ed Law §2853(3)(b-1)). While all conversion charter schools have to be unionized, they also have a significant amount of autonomy because under the Act, they are governed by their board of trustees and the contract can be negotiated to fit the charter context.

Once a New York State charter school has been awarded a charter, the new charter school accepts increased freedom from the traditional rules that public schools must follow in exchange for increased performance-based accountability. A charter school is accountable for meeting its measurable student achievement goals or risk non-renewal of its charter. This increased autonomy coupled with increased accountability infuses all aspects of the oversight of charter schools, beginning with a rigorous application process that applicants must go through to receive a charter as well as to maintain its charter.

Charter schools in New York State are fiscally autonomous, according to statute. “A charter school shall be deemed an independent and autonomous public school.” (Ed Law §2853(1)(c)). Further, “the board of trustees of the charter school shall have final authority for policy and operational decisions of the school.” (Ed Law §2853(1)(f)). In keeping with this authority, it is the trustees of each charter school’s board that are responsible for approving the school’s annual budget and for monitoring its finances.

An application for a charter school shall include “a proposed budget and fiscal plan for the school including evidence that the fiscal plan is sound and that sufficient startup funds will be available to the charter school” (Ed Law §2851(2)(e)). Resources are allocated in the budget at the direction and discretion of the applicant and, upon approval, will be adopted by the charter

school board of trustees. While each charter school has a high degree of autonomy over the charter school's budgets and expenditures, accountability is also maintained, as charter schools are subject to annual independent fiscal audits and procedures (which must be consistent with generally accepted government accounting and auditing standards) as set forth in the charter agreement with their authorizers. (Ed Law §2854(1)(c)).

As articulated in Ed Law §2856, charter schools receive per student funding directly from the school districts of residence of its enrolled students. The amount of per student funding is calculated (total district operating spending divided by a weighted enrollment figure) by NYSED for each school district. In the event a school district fails to fulfill its financial obligation, there is a procedure in effect (called "state intercepts") for the State to deduct unpaid obligations from state aid due to the district and remit those funds directly to the applicable charter school.

Selection Criteria (iii): The number of high-quality charter schools (20 points)

The number of high-quality charter schools to be created in the State.

Under the NYS Charter Schools Act, New York State has two Statewide charter school authorizers, the New York State Board of Regents (Regents) and the Board of Trustees of the State University of New York (Trustees), and local boards of education and the Chancellor of the New York City School District may be charter authorizers for charter schools within their school districts. This authorizing structure is intended to foster innovation and support the establishment of charter schools with varied philosophical bases. The two statewide authorizers work in partnership with the NYCDOE to ensure that only governing boards with the will, skill, and capacity to sustain quality schools are awarded charters, and these authorizers rigorously monitor the academic and operational programs of the public charter schools in the State. Quality support organizations, like the New York State Charter School Association and the New York City

Charter School Center, provide high-quality technical assistance to the State's public charter schools, as well as advocacy and links to national policy and research resources for schools.

As described previously in [Competitive Preference Priority 2](#), New York State's charter school cap was raised from 100 to 200 charter schools as part of a 2007 amendment to the NYS Charter Schools Act (with only 6 charters remaining to be issued on the recommendation of the Trustees under this the 200-school cap). As part of comprehensive education reform legislation passed in May 2010, the Act was amended again to raise the cap on the number of charter schools from 200 to 460 charter schools, and to provide for a rigorous, competitive Request for Proposals (RFP) process for the awarding of the 260 new charters starting on August 1, 2010 (Chapter 101 of the NY Laws of 2010). Thereafter, all remaining charters may be issued through the RFP process on a schedule of the Regents' or SUNY's choosing.

There are several avenues through which new charter schools can be created in New York State over the next several years. First, through December 31, 2013, Ed Law §2852 (9-a)(a) provides for 130 of the new charters to be issued by the Regents, and 130 to be issued on the recommendation of the Trustees, (of these 260 new charters, no more than 114 can be located in New York City (57 for each authorizer)). Second, local boards of education may authorize "conversion" charter schools, which do not count toward the total 460 cap; there are no limits on the number of conversions.

Of the 86 charters issued from 2006 to 2010, just prior to the new RFP process that commenced on August 1, 2010, both the Regents and the Trustees approved applications for charter schools at an approximately 40% approval rate. (Note: Approximately half of the charters during this period were authorized by NYCDOE, but current law permits only the Regents and the Trustees to authorize new charter schools). The results of the first RFP process mandated by

the Act as amended in May 2010, presented in [Figure 1](#) below, highlight both the continued strong demand for high-quality charter schools in New York State, as well as the higher standard that both the Regents and the Trustees are setting for quality.

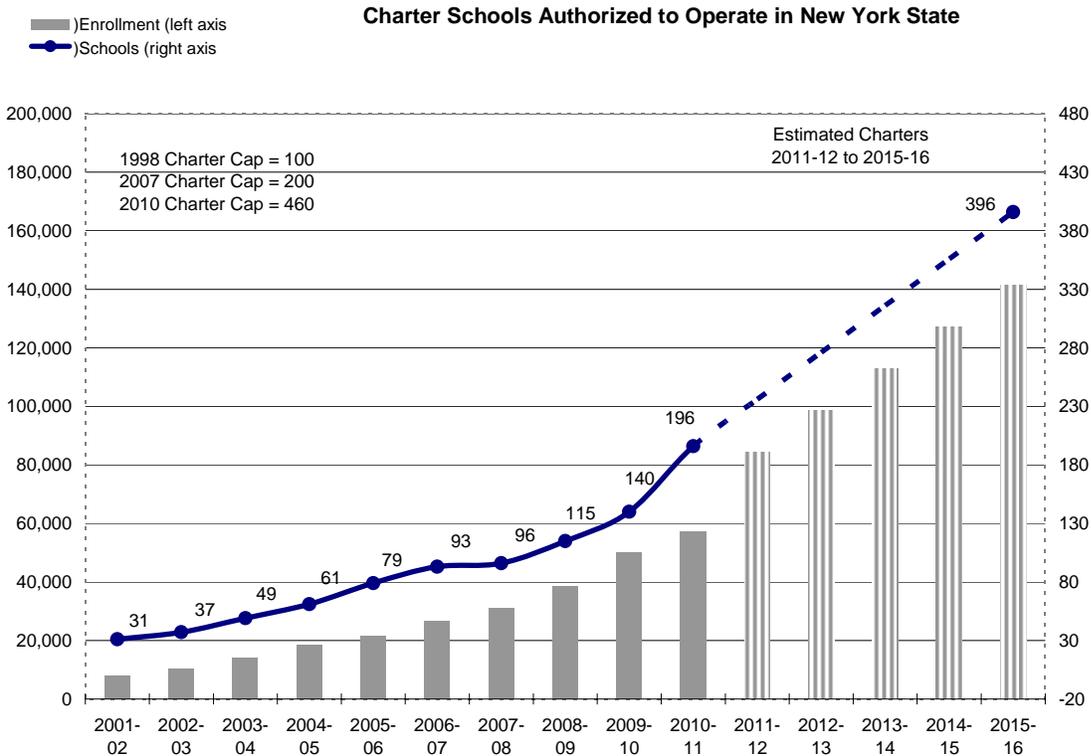
Figure 1: Recent New York State Chartering Trend

RFP announced on or about	Charters issued by	# of applications submitted	# of charters issued	Approval rate
August 1, 2010 by the Regents	December 31, 2010	35 prospectuses submitted, 16 invited to submit full applications	7	20%
August 1, 2010 by the Trustees	December 31, 2010	8 applications submitted	2	25%
January 1, 2011 by the Regents	December 31, 2011	80 prospectuses submitted, 37 invited to submit full applications	TBD	TBD
January 1, 2011 by the Trustees	December 31, 2011	33 letters of intent submitted, 23 full applications submitted	TBD	TBD

In addition, the recent focus on school turnaround and innovation has renewed the interest in the possible use of the conversion charter process as a vehicle for institutionalizing reforms.

Though the new cap allows New York State to authorize an additional 260 charters (not including conversions) by December 31, 2013, recent authorizing trends and New York State’s commitment to maintaining an extremely rigorous authorization environment suggest that approximately 200 new charter schools (See [Figure 2](#) below) will be issued over the five-year period of this CSP grant project. These new charter schools would be roughly split equally between Regents-authorized schools and Trustees-authorized schools, along with an estimated 10 conversions.

Figure 2: Estimated Future Chartering Trend



Application and Peer Review Process

Both statewide authorizers are committed to conducting rigorous, integrated charter authorization and CSP grant peer review processes, aligned with the NACSA’ *Principles and Standards for Quality Authorizing*. The Trustees’ new charter school application and authorizing practice has been recognized several times nationally, including in October 2010, when SUNY received the Award for Excellence in Improving Authorizer Practice from NACSA. SUNY was recognized as having the “best application process” for creating new charter schools, which is particularly notable given it was the first year that revised charter legislation in New York State required a specific RFP process. SUNY’s rigorous review process for new charter school applications includes: in-depth interviews with applicants and proposed board members; an extensive academic, fiscal and legal review by Institute staff as well a panel of external experts

in the fields of education and school finance; and interviews of the founding team and proposed board by Institute staff and members of the SUNY Trustees' Education Committee. The review process also includes a thorough due diligence review and interview of any proposed management partner.

The Regents' new charter school application is also extremely rigorous and thorough. In a June 7, 2010 memo to the Board of Regents, Dr. John B. King, Jr., NYSED Senior Deputy Commissioner of P-12 Education, described a renewed commitment to quality in the Regent's charter school authorizing practice, focused on the three core responsibilities of charter school authorizers as distilled by NACSA: (1) Maintain high standards for schools; (2) Uphold school autonomy; and (3) Protect student and public interests. The Regents' revised charter application approval process is outlined in the *NYSED 2011 Charter School Application Kit* (see <http://www.p12.nysed.gov/psc/startcharter.html>), which contains charter school application guidance, materials and review protocols, integrated with CSP grant requirements as described in [Selection Criteria \(i\), Project Objective 1](#). This process is focused on the will, skill and capacity of the founding school governing board to launch and sustain a successful public charter school.

NYSED's rigorous charter application process includes: submission of a letter of intent; a two-stage comprehensive written application reviewed by expert peer reviewers (including charter and district school faculty, administrators, and board of trustees members, along with other educational professionals) and NYSED staff; a panel discussion among peer reviewers; a face-to-face interview of the proposed school's founding group; regarding capacity and careful consideration of public opinion and comment, including direct solicitation of comment from the host district's superintendent. Each proposal is reviewed by a minimum of four reviewers. Recruitment of peer reviewers involves extensive outreach to the charter school and education

community, and funds for peer reviewer stipends are included in this grant budget. Selected peer reviewers receive guidelines which include general information about the process, an assurance to be signed (regarding confidentiality, any existing conflict of interest, and a reviewer's impartiality assurance), a process evaluation, and travel reimbursement paperwork instructions. They participate in training prior to reviewing proposals and participating in panel discussions of the relative merits and weaknesses of each application. As per the NYSED 2011 Charter School Application Kit, the Regents will award a charter *only if* the applicant has demonstrated appropriate knowledge, capacity, and abilities to effectively create, maintain, and oversee a high-quality charter school.

In the case of conversion charter schools authorized by local boards of education or the Chancellor of New York City, NYSED will work with these authorizers to ensure that a peer review process of comparable rigor is utilized to award charters and CSP funds.

Percentage of eligible applicants that were awarded subgrants under current CSP program

Eighty-three of the ninety-nine eligible applicants (84%) in New York State's current CSP grant program (2008–2011) were awarded subgrants. One of the applicants did not receive funds due to its inability to receive a passing score as per the rating and review section of the subgrant RFP issued. The remainder of the applicants did not receive subgrants due to lack of CSP funds related to the faster-than-expected pace of chartering described in [Competitive Preference Priority 2](#). A supplemental fund request (submitted in November 2010) is pending with ED at the time of the writing of this application.

Selection Criteria (iv): Quality of the management plan (10 points)

In determining the quality of the management plan for the proposed project, the Secretary considers (a) the adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks; and (b) how the SEA will inform each charter school in the State about Federal funds the charter school is eligible to receive and ensure that each charter school in the State receives the school's commensurate share of Federal education funds

that are allocated by formula each year, including during the first year of operation of the school and during a year in which the school's enrollment expands significantly (20 U.S.C. 7221b(b)(2)(A) and (B) and 7221e(a)).

NYSED Charter School Office (CSO)

In October 2009, the Board of Regents appointed a new Commissioner of Education, David Steiner, and Senior Deputy Commissioner for P-12 Education, John B. King, Jr. to lead NYSED. Dr. King co-founded Roxbury Preparatory Charter School and the Uncommon Schools network in New York, a highly regarded not-for-profit that starts and manages high performing public charter schools. Dr. King has deep experience in and knowledge of the public charter school sector and brings that orientation to his leadership role in the Department.

In March 2010, Sally Bachofer was hired as NYSED Assistant Commissioner to lead the newly-created Office of Innovative School Models. Prior to joining the Department, Ms. Bachofer served as NACSA's Director of Knowledge, responsible for creating model policies and resources for NACSA members, staff and consultants and she previously worked as Coordinator of Accountability for the Massachusetts Charter School Office. Ms. Bachofer reports directly to the NYSED Senior Deputy and the Commissioner and provides the CSO with a direct link to the NYSED senior leadership.

The CSO is aligned organizationally within the Office of Innovative School Models as described in the [Invitational Priority](#), and is directly managed by Cliff Chuang. Mr. Chuang previously served as CSP Project Director for Massachusetts for five years, and has also managed Massachusetts' nationally-recognized Expanded Learning Time grant and federal School Improvement Grant. He previously helped to launch the high school at the Academy of the Pacific Rim Charter Public School as the mathematics department chair.

In addition to the Director, the CSO currently has 9.0 FTE professional personnel (3.0 FTE currently funded by CSP grant funds) and 1.5 FTE support staff, who carry out the Regents'

legal and regulatory oversight function for all charter schools in the State, administer the State's federal CSP grant, and conduct the specific charter authorization activities of schools directly authorized by the Regents. In particular, the current CSP Project Director, Barbara Moscinski, and CSP Grants Manager, Erica Cervine, will continue in their respective roles, bringing several years of experience with charter authorization and CSP grants management. In addition, there is currently team of 4.0 FTE that work on NYSED's new charter school authorization processes led by Susan Megna. In order to appropriately manage and oversee this much larger CSP grant project, which will result in the significant expansion in the number of high-quality charter schools in New York State, NYSED proposes to add 4.0 FTE professional positions to the current CSO staff as follows:

- A dedicated full-time CSP Project Director (1.0 FTE, which will be re-classified as a supervisory position) who will be charged with ensuring proper stewardship of CSP funds and compliance with all State and federal laws and regulations. S/he will work closely with the current CSP grants manager, new schools development staff, and other professional staff charged with monitoring and compliance, including an additional new hire (1.0 FTE), to ensure seamless coordination of the integrated charter authorization and grant review process, timely processing and payment of all subgrant awards, and appropriate oversight and monitoring. S/he will coordinate with the other active authorizers in the State to ensure that their processes adhere to CSP grant requirements.
- A Performance Oversight Coordinator (1.0 FTE) based in New York City will assist in the oversight of the particular significant expansion of charter schools expected there. S/he will work closely with current CSO professional staff members and contracted school review

vendors to conduct specific performance monitoring of Regents' authorized charter schools, and to coordinate with other authorizers on their performance monitoring activities.

- A Dissemination Specialist (1.0 FTE) will be charged with promoting dissemination of charter school best practices to public schools throughout the State, and will administer the dissemination grant competition described in [Selection Criteria \(vi\)](#). This individual will serve as a resource to other staff outside of the CSO, and partners outside the agency, who support the State's school turnaround efforts. S/he will also work alongside CSO new schools development staff to inform teachers, parents, and communities about charter schools.

In addition, a cadre of highly-qualified contracted educational and organizational consultants will be developed to support the ongoing monitoring and oversight work of this grant project. The CSO Director provides oversight of all of these activities and ensures that resources are deployed in alignment with strategic priorities. He will serve as a primary liaison for the New York State Quality Charter Authorizer Partnership, and work to craft state-level policy to support project objectives. Full details of the management plan for this project are provided in [Figure 3](#).

Figure 3: New York State CSP Project 2011–2016 Management Plan

New York State CSP Project 2011 - 2016		2011		2012		2013		2014		2015		2016	
Management Plan	Person(s)	Jul-Sep	Oct-Dec	Jan-Mar	Apr-Jun	Jul-Sep	Oct-Dec	Jan-Mar	Apr-Jun	Jul-Sep	Oct-Dec	Jan-Mar	Apr-Jun
Person Key: Dir = CSO Director or designee; PD = CSP Project Director; GM = Grants Manager; POC = Performance Oversight Coordinator; NST = New Schools Team; DS= Dissemination Specialist; CC = Contracted Consultant													
Project Objective (1): Increase the number of high-quality charter schools in New York State, especially those serving students who are at greatest risk of not meeting State academic standards.													
Activity 1 and 2: Quickly award post-charter planning and implementation grants to all newly authorized charter schools in New York State, with specific incentive													
Release annual charter RFP with integrated CSP application; training of peer reviewers	NST												
Conduct rigorous, integrated charter and CSP application review process.	NST, PD												
Regents and Trustees award charters and subgrants to selected applicants	PD												
Opening Procedures trainings conducted.	NSS												
Monitor and review continuation applications and final reports from subgrantees (ongoing).	PD; GM												
Activity 3: Clearly communicate information about charter schools and CSP grant funding													
Conduct targeted marketing of application/RFPs, regional information workshops.	NST, DS												
Redesign CSO website for specific audience and to include links to authorizer partners.	DS w/CC												
Activity 4: Ensure the ongoing high quality of all existing New York State charter schools													
Conduct compliance monitoring (including CSP) at all charter schools with support of other NYSED offices.	PD, GM												
Conduct site visits at Regents' authorized schools.	POC w/CC												
Make high-stakes renewal recommendations based on comprehensive 5-year performance records.	Dir												
Project Objective (2). Strengthen the overall quality of the New York State charter authorizing and CSP grant administrative infrastructure.													
Activity 1: Systematically revise and align NYSED oversight protocols and guidelines.													
Complete systematic revision of protocols and guidelines; conduct annual reflection and revision process.	Dir w/CC												
Post and share protocols and guidelines with other authorizers, including subsequent annual updates.	PD w/CC												
Activity 2: Actively participate in and contribute to state and national charter school authorization and policy dialogue													
Convene NYSQCAP meetings of partner authorizers.	CSO												
Present at annual NASCA and other conferences as applicable.	CSO												
Activity 3: Provide technical assistance and professional development to New York State charter authorizer staff to support high-quality authorizing practices													
Conduct needs assessment of NYS charter authorizers to identify common areas for prof. development.	Dir w/CC												
Conduct ongoing professional development trainings (ongoing).	CC												
Project Objective (3): Promote the dissemination of New York State charter school best practices to other public schools.													
Activity 1: Conduct a Race-to-the-Top style CSP dissemination subgrant competition													
Develop competition guidelines and protocol	DS												
Release and market RFP to high-performing charter schools; conduct peer reviewer training	DS												
Peer review proposals; award subgrants.	PD, DS w/CC												
Monitor ongoing subgrantee projects (review of progress reports--at least annual, on-site visits)	DS												
Share, market, and evaluate results of completed dissemination projects	PD, DS w/CC												
Activity 2: Support the District-Charter Collaboration Compacts in New York City and Rochester													
Liase with Compact participants (ongoing)	DS												
Activity 3: Widely promote dissemination activities to public schools.													
Develop a system to recruit, evaluate, feature, and promote charter school best practices (ongoing)	DS												
Collect best practices via annual reports; publicize best practices via website and NYS annual charter school report.	DS												
Project Objective (4): Improve student achievement outcomes in New York State charter schools, particularly for students who are at greatest risk of not meeting State academic standards; Includes Evaluation Activities													
Collect and analyze data related to number of charters and CSP grants awarded.	PD, GM												
Conduct annual surveys of subgrantees, disseminee schools, and authorizer staff members	PD w/CC												
Conduct state assessment proficiency and graduation rate analyses.	PD												
Design rigorous outcomes study .	Dir, PD												
Researcher conducts rigorous outcomes study (ongoing).	CC												
Write/Submit ED524B to USED	PD, GM												

Note: Though this management plan specifies how NYSED will ensure that proposed grant activities are completed, it should be noted that most of these activities will be conducted in collaboration with our authorizing partners, in particular SUNY CSI.

Alignment with State and Federal Priorities

In order to ensure that the CSP management plan is in alignment with State and Federal priorities and executed with maximum impact, CSO staff will coordinate closely with other staff within NYSED involved in the implementation of New York State's Race to the Top program and the Regents' reform agenda. In addition, NYSED will draw on the expertise and resources of the Regents Research Fund. This supplemental work—in the form of vital research, analysis, and design—is being performed by the *Regents Research Fellows*, a group of nationally-recognized education thought leaders who have agreed to two-year minimum, full-time commitments to the Fund, and by partner organizations retained by the Fund. These teams will work alongside NYSED charter school staff and partner organizations to provide recommendations to the Board of Regents for consideration. The Fund will provide recommendations on the policy requirements, design and implementation of core strategies in the management plan.

Improvements made based on WestEd Monitoring Report

NYSED was monitored by WestEd in December 2008 during the 2005-2008 CSP grant period and received valuable feedback for improving the implementation of the current CSP objectives. WestEd noted that New York State needed to strengthen the process by which it identifies and disseminates best practices by charter schools, and that there needed to be greater collaboration between NYSED and SUNY in the area of dissemination. NYSED worked during the 2008–2011 CSP grant period to broaden its dissemination efforts, including sharing best practices on its website, the use of an email listserv to share information, and writing articles about charter schools' successful strategies. To further improve in this area, this 2011–2016 CSP grant proposes a dedicated staff person to support the State's dissemination efforts. NYSED will directly administer the dissemination subgrant program, but will collaborate with SUNY and the

other active authorizers in the State through NYSQCAP (see [Selection Criteria \(v\)](#)) to promote and conduct the subgrant competition (see [Selection Criteria \(vi\)](#)). For additional detail about improvements made by NYSED in response to the WestEd monitoring report, see *Other Attachments*.

Federal funds eligibility and commensurate share

For information about charter school eligibility for a commensurate share of federal funds, see [Application Requirement \(ii\)](#) and [Application Requirement \(iii\)](#).

Selection Criteria (v): SEA's plan to monitor public chartering agencies (20 points)

The SEA's plan to monitor and hold accountable public chartering agencies through such activities as providing technical assistance or establishing a professional development program, which may include providing authorized public chartering agency staff with training and assistance on planning and systems development, so as to improve the capacity of those agencies to authorize, monitor, and hold accountable charter schools.

New York State is uniquely situated when addressing the level of charter authorizing expertise required to build, implement, and sustain high-quality authorizing as measured against national authorizing standards. Both statewide authorizing offices are led by former NACSA staff. While at NACSA, the current head of the NYSED's Office of Innovative School Models, which includes NYSED's Charter School Office, and the head of SUNY's Charter Schools Institute led the refinement of the NACSA Principles & Standards for Quality Authorizing and participated in the design, pilot and redesign of NACSA's Authorizer Evaluation Protocol. SUNY is a founding member of NACSA and as recently as October 2010 received NACSA's Award for Exemplary Authorizing Practice. This level of experience and accomplishment located in both statewide authorizing agencies allows New York State to maximize resources and leverage NYSED and SUNY's expertise.

To build and institutionalize the level of charter authorizing expertise in New York State, a key component of NYSED's strategy to monitor and hold the public chartering agencies accountable is the formation of the ***New York State Quality Charter Authorizer Partnership***

(NYSQCAP). See *Other Attachments* for the signed NYSQCAP agreement. This unique agreement represents the commitment on the part of all the major active authorizers in the State to ensure the highest standards of quality charter authorizing. Key activities to be conducted as part of this partnership will likely include:

Activity 1: Systematically revise and align NYSED oversight protocols and guidelines.

NYSED will work systematically during the first part of the five-year grant period to revise and refine our full set of guiding protocol documents to ensure a clear integration of CSP grant program goals and requirements with general charter oversight activities. In particular, NYSED will work to clearly distinguish the oversight activities that we conduct for all charter schools in the State as the regulatory authority identified in State law, from the oversight activities that we conduct as a charter authorizer for a subset of charter schools in the State. For all charter schools, NYSED plans to work collaboratively with other authorizers to develop and refine guidelines for annual reports, enrollment and retention targets, charter revisions, and federal funding availability. For Regents' authorized charter schools, NYSED will also develop and refine our processes and protocols related to charter/grant application, opening procedures, site visits, financial audits, performance frameworks, renewal applications, and closing procedures to align with national best practice, such as NACSA's *Principles and Standards*. As SUNY and NYSED have done in the past, these revised processes and protocols will be shared for adoption and/or adaption with the other authorizers in the State, particularly local boards of education that choose to authorize conversion charters. These revisions will further enhance the quality, clarity, and transparency of NYSED's monitoring and oversight of all charter schools in New York State.

Activity 2: Actively participate in and contribute to state and national charter school authorization and policy dialogue.

New York’s charter authorizers are committed to continual improvement of authorizing and monitoring (inclusive with CSP grant monitoring) practices. Over the five-year grant period, NYSED is committed to supporting the active involvement of New York State charter authorizers in the national dialogue about charter school authorizing, oversight, and policy via NYSQCAP. This will involve regular meetings of major active authorizers, to (1) align authorizing practices to industry best practice standards; (2) develop state-level policy around implementation aspects of the amended charter school statute, such as replication and lottery provisions; (3) coordinate authorizing and review processes and protocols, especially as they relate to the timely flow of CSP grant funds; and (4) provide a forum discussing the professional development needs of charter authorizing staff in each organization.

NYSED will reach out to local boards of education that are interested in charter authorization to participate in this partnership. In particular, NYSED may reach out to the Buffalo Board of Education (recently considering conversion charters as an option for school turnaround) and the Rochester Board of Education (a Charter-District Collaboration Compact participant, see discussion of this Compact in [Selection Criteria \(vi\) Activity 2](#)). The New York Charter Schools Association and the New York City Charter School Center may also be asked to participate in these meetings and activities as appropriate. Another key feature of this collaboration will be joint participation and presentations by NYSQCAP staff members at national charter school conferences—including but not limited to the NACSA annual conference and the National Charter Schools Conference—which will provide a common frame of reference for professional development trainings and discussions.

Activity 3: Provide technical assistance and professional development to New York State charter authorizer staff to support high-quality authorizing practices

In order to improve the capacity of all charter authorizing entities in New York State to authorize, monitor, and hold their respective charter schools accountable, NYSED will work collaboratively with NYSQCAP partners to identify common areas of professional development for charter authorizing staff members through a needs assessment conducted during the first year of the grant project. NYSED will then work collaboratively with our partners to determine mutually agreeable forums for training and assistance. These training forums may include statewide authorizer forums for aligning best practices, sending staff to national conferences or workshops conducted by higher education institutions, as well as specifically tailored trainings delivered by charter authorizing experts (including in-house experts at SUNY, NYSED and NYCDOE). NYSED will support these professional development forums by providing quality authorizer grants/contracts through its CSP administrative set-aside to ensure that staff of each participating authorizer can fully participate.

Selection Criteria (vi): Dissemination Activities (10 points)

In the case of SEAs that propose to use grant funds to support dissemination activities under section 5204(f)(6) of the ESEA, the quality of the dissemination activities (5 points) and the likelihood that those activities will improve student academic achievement (5 points).

Activity 1: Conduct a Race-to-the-Top style CSP dissemination subgrant competition

Ed Law §2857(5) states the Regents “shall on an annual basis review and make available to school districts best educational practices employed by charter schools.” In order to support this requirement, NYSED is proposing to use CSP grant funds to disseminate the best practices of the State’s highest quality charter schools. NYSED has previously awarded two-year dissemination subgrants for up to \$400,000 under the CSP program. We have found that this subgrant structure has not afforded charter schools sufficient time or resources to deeply impact practice or raise student achievement at partner schools.

For this CSP project, NYSED proposes to conduct a Race-to-the-Top style dissemination subgrant competition, in collaboration with the New York State Quality Charter Authorizer Partnership (NYSCAQP), the New York Charter Schools' Association, and the New York City Charter School Center, among others.

Key features of this dissemination subgrant competition will likely include:

- Extensive outreach to high-performing charter schools and refinement of the subgrant priorities during the first year of the overall five-year CSP grant project, with the subgrant competition conducted and completed no later than June 30, 2012.
- Subgrant project periods of 3 years (from July 1, 2012 to June 30, 2015) and award amounts of up to \$2,000,000.
- Competitive preference priority for charter schools that propose to disseminate best practices to persistently low-performing schools or those that are implementing SIG transformation, restart, or turnarounds; and charter schools that propose in-depth engagement partnerships, which may include “embedding” key charter school staff members at the schools working with charter schools. NYSED will work collaboratively with our NYSQCAP partners to further refine these priorities during the development year.
- Resources permitting, a formal evaluation of the implementation of dissemination projects (both from disseminating and partner schools) and student achievement impacts will be conducted during the fifth year of the overall CSP grant project period.
- Dissemination subgrant activities must be aligned with the New York State performance standards, supported by research, and show documented results. Steps to include training and technical assistance must be identified. Applicants selecting to develop assessments or materials must include validation study results to show evidence of “successful practices.”

Applicants selecting to assist individuals with developing partnerships must have practices that have led to documented results and represent a product or service that can be shared with the partner school or schools.

NYSED will charge an individual (Dissemination Specialist) with specific responsibility to promote and support the agency's dissemination efforts, as provided for in the management plan in [Selection Criteria \(vi\)](#). This staff person will work extensively during the first year of the CSP grant project to develop the dissemination subgrant competition and raise awareness among both potential charter school applicants and public school partners through outreach and training activities. NYSED will provide formal notice of the subgrant competition to eligible applicants through New York State's legally required notification process, involving the filing of notice of availability of funding in the contract reporter and an email blast to all potential eligible applicants. The subgrants will be awarded using a competitive RFP process, posted at <http://www.p12.nysed.gov/funding/currentapps.html>.

Charter school applicants must meet all of the eligibility criteria found in §52043(f)(6)(A) of the ESEA in order to be eligible to receive a subgrant award. Applicants must have been open for instruction for at least three consecutive years, demonstrate overall success by showing substantial progress in improving student academic achievement, a high level of parent satisfaction, and the necessary management and leadership ability. NYSED's criteria for dissemination subgrant eligibility will be similar to those outlined for the replication priority in [Selection Criteria \(i\), Project Objective 1, Activity 2](#), in addition to consideration of parent surveys or other measures of parent satisfaction. No points will be awarded for meeting minimum eligibility requirements.

Applicants must include in their proposals a prescribed set of information including a cover page, assurance documents, budget, budget narrative, project narrative, measurable performance objectives, and an evaluation plan. Applicants will be required to demonstrate how their dissemination activities would result in increased student achievement, whether the increase would be directly or indirectly related to grant activities, and how the effects of their activities might be recognized and measured. NYSED will attempt to increase the likelihood that the dissemination activities will improve student achievement by asking the applicant to address the following in the narrative: qualitative and quantitative information to support the need for the project, the validation study or documented results to show necessary evidence of success, the alignment with the New York State learning standards and the modification for learners of all abilities (including English language learners and bilingual education learners).

Charter school applicants that meet eligibility requirements will then be scored on the merits of their project proposals against a project scoring rubric, which will reward in-depth engagements, activities that are most likely to improve student achievement at partner schools, and thoughtful use of grant funds. A copy of the scoring rubric will be provided as part of the RFP. The Dissemination Specialist will work to recruit a robust, highly-qualified pool of staff and peer reviewers, including charter and district school faculty, administrators, and board of trustees members, along with other educational professionals. Funds for peer reviewer stipends are included in the grant budget. Selected peer reviewers will receive guidelines which include general information about the process, an assurance to be signed (regarding confidentiality, any existing conflict of interest, and a reviewer's impartiality assurance), a process evaluation, and travel reimbursement paperwork instructions. They will participate in training prior to scoring proposals, participating in a panel discussion of the relative merits and weaknesses, and

interviewing selected applicants. Additional peer reviewers will be brought in to score proposals that have significant discrepancies in scoring. The overall highest scoring proposals that meet a minimum threshold will be awarded subgrants. It is anticipated that seven (7) to fourteen (14) charter schools will be awarded dissemination grants during the second year of the five year CSP grant period. Continuation awards for these subgrantees will be made on the basis of the submission of a continuation application which provides a progress report on implementation benchmarks and performance measures covering the previous year, an updated description of the upcoming year's activities, and an updated budget with narrative for the upcoming year. NYSED will review this continuation application along with results from program monitoring to make continuation funding decisions.

Once dissemination projects are underway, the Dissemination Specialist will coordinate monitoring of the projects through regular reporting (both programmatic and fiscal) and on-site visits. Subgrant recipients will be required to meet annual performance benchmarks to receive continuation funding. The Dissemination Specialist will also coordinate regular presentations and sharing sessions (in a variety of formats, including online and in-person) about the ongoing work. The Dissemination Specialist and other CSO staff will work with subgrantees to coordinate the dissemination of their best practices to other public schools in New York State through the methods described below. Current dissemination projects are featured at <http://www.p12.nysed.gov/psc/DisseminationProjects.htm>.

Because of NYSED's commitment to supporting only the highest-quality, in-depth, multi-year dissemination engagements with a priority on partnerships with the persistently lowest-performing schools, we are confident that these activities are likely to improve student academic achievement.

Activity 2: Support the District-Charter Collaboration Compacts in New York City and Rochester

The dissemination subgrant competition will find fertile ground in New York State. The ability of charter schools to not just disseminate best practices, but to work in partnership with traditional public schools, will be intensified and accelerated given that New York State is the only state that has two of its largest districts as signatories to the ground-breaking District-Charter Collaboration Compacts, supported by the Bill & Melinda Gates Foundation and announced in Denver in December 2010. This Compact provides a formal framework for dissemination and collaboration. Four of six charter schools in Rochester and 95 of 125 charter schools in New York City are signatories to the Compact. As this work evolves, it is likely that participation will near 100%. Under the Compacts, charter and district schools have agreed to share and provide resources around the common core curriculum as well as the use of data to guide and improve instruction, the building of a school-wide culture of academic achievement as well as ways to work together when district and charter schools are co-located.

The dissemination subgrants will provide critically needed resources for these activities and will augment efforts already underway. For instance, the New York City Charter School Center is in the process of hiring a senior director to ensure that the Compact does not remain words on paper and is already working with other support organizations on a conference for best practice sharing in NYC in the fall. The Rochester School District, which previously had a contentious relationship with charters, has been unequivocal in its support for creating high-quality schools, whether charter or district. Given Rochester's proximity to Buffalo, it is likely that this kind of cooperative practices can be showcased, so that the climate for dissemination and collaboration will also affect the Buffalo eco-system. NYSED's Dissemination Specialist will serve as a liaison to Compact participants to ensure that the dissemination activities from the

Compacts and dissemination subgrants are shared statewide, and will support the development of structures through which these practices can be taught, learned, shared, and improved.

Activity 3: Widely promote dissemination activities to public schools.

Ed Law §2857(5) states "[T]he board of regents shall on an annual basis review and make available to school districts best educational practices employed by charter schools." Apart from the subgrant competition described above, the Dissemination Specialist will be charged with coordinating efforts with other charter authorizers, the New York Charter School Association and the New York City Charter School Center to collaboratively identify and disseminate the best or promising practices of charter schools. Apart from the CSP dissemination subgrant competition and support of the District-Charter Collaboration Compacts, NYSED will also provide opportunities to high-performing charter schools to complete a Best or Promising Practices proposal (whether or not they received a dissemination subgrant) which will be highlighted at <http://www.p12.nysed.gov/psc/SuccessfulPractices.htm>.

The Dissemination Specialist will work to develop a system to recruit, evaluate, feature, and promote such practices. Charter schools will also be required to report on their best educational practices in their annual reports submitted to NYSED by August 1 each year. NYSED will annually summarize this information from charter school annual reports as part of the annual report on charter schools to the governor and legislator required by Ed Law §2857(3).

The Dissemination Specialist will also work to develop new communication vehicles such as webinars, a regular newsletter, and presentations at statewide conferences, in addition to the current use the CSO website and a charter school listserv. S/he will work with an evaluation vendor to develop an online survey to assess the awareness among educators in school districts

of the availability of resources available from NYSED relating to the best or promising practices of charter schools.

Selection Criteria (vii): Quality of the project evaluation (10 points)

The Secretary considers the quality of the evaluation to be conducted of the proposed project. In determining the quality of the evaluation, the Secretary considers the extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible.

Under New York State Finance Law, all State government agencies are required to procure contracts for commodities, services, and technology through a competitive bidding process. Until that competitive bidding process is complete, NYSED is unable to identify an evaluator for the proposed project evaluation plan described below. However, NYSED anticipates identifying qualified external vendors through the State's procurement process to assist with evaluating the CSP grant project.

NYSED will contract with an external evaluator such as the Center for Evaluation and Education Policy (CEEP) at Indiana University, which has extensive program evaluation and education policy research experience. CEEP is currently under contract with NYSED to assist with the evaluation plan for our current 2008–2011 CSP grant project. The chosen evaluator(s) will assist NYSED in completing the 2011–2016 evaluation plan by providing consulting support for the design of various evaluation instruments (e.g., surveys and focus group interviews) and analysis of results.

With respect to evaluating Project Objective 4, related to student achievement and outcomes, NYSED will track and analyze charter school student proficiency and graduation rates based on data already collected via the State's student assessment and Basic Education Data System (BEDS). Additionally, NYSED intends to contract with researchers who specialize in rigorous experimental and quasi-experimental studies in order to evaluate New York State charter school student achievement and graduation rate outcomes with a research design that

controls for other variables. NYSED will seek researchers such as Stanford University's Caroline Hoxby, who is the principal investigator for the previously-mentioned New York City Charter Schools Evaluation Project⁷, or the Center for Education Policy Research at Harvard University, which conducted two similar studies on the student achievement outcomes in Massachusetts charter schools⁸. Researchers selected to conduct this component of the evaluation plan must have extensive experience in all aspects of large-scale outcomes research design, and specific familiarity with the data collection and policy complexities related to charter school evaluations. The design and full scope of this study will be developed in the first year of the grant, but if possible, NYSED anticipates conducting the study over the course of the five-year grant project period, tracking progress over time. Given the resource-intensive nature of such robust research, NYSED will also consider partnering with organizations to seek other sources of funding, such as Institute of Education Sciences (IES) grants.⁹ New funding would allow the State to conduct a more robust study of charter school outcomes that might provide insight into the impact on student achievement outcomes of specific program design models (such as those articulated in our CSP grant program design incentive priority), dissemination activities, student attrition or specific authorizing practices.

Performance measures and evaluation activities that are part of this evaluation plan are described in [Figure 4](#) below for these project objectives. All of the information collected through this evaluation plan will be used to formatively assess and monitor the progress of this CSP project and to inform potential changes to the activities proposed. NYSED will annually report to

⁷ See <http://www.nber.org/~schools/charterschoolseval/>

⁸ See <http://www.tbf.org/utilitynavigation/multimedialibrary/reportsdetail.aspx?id=9488> and http://www.gse.harvard.edu/~pfpie/pdf/Student_Achievement_in_MA_Charter_Schools_2011.pdf

⁹ Current IES grants that may be possible fits for this evaluation component include CFDA# 84.305A-1 & CFDA# 84.305A-2: Education Research (Deadlines: June 23, 2011 & Sept. 22, 2011, two competitions): Improving Education Systems: Policies, Organization, Management and Leadership; or CFDA# 84.305E: Evaluation of State and Local Education Programs and Policies [Deadline: Sept. 22, 2011] (one competition).

ED on progress toward meeting these project objectives via the required Annual Performance Report (ED524B) and will also publicly report progress in its annual report on charter schools to the governor and legislature (NYS Charter School Annual Report) required by Ed Law §2857(3).

Figure 4: New York State 2016 CSP Project 2011–2016 Objective Performance Measures

Project Objective (1): Increase the number of high-quality charter schools in New York State, especially those serving educationally disadvantage students who are at greatest risk of not meeting State academic standards.		
<i>Performance Measure (1A): By December 31, 2015, New York State charter authorizers will issue 200 additional charters for new high-quality charter schools to open.</i>		
Data Collection	Methods/Instruments	Analysis/Reporting
Track the number of applications submitted and the final number of charters issued at the end of each year.	Use established application tracking system and CSO internal database system “rolodex” to track total charters issued.	Aggregate and report numeric summaries annually in the NYS Charter School Annual Report.
<i>Performance Measure (1B): By December 31, 2015, the New York State charter authorizers will issue 20 additional charters for new high-quality charter schools to open that meet grant priorities related to school turnaround.</i>		
Data Collection	Methods/Instruments	Analysis/Reporting
Track the number of “turnaround” charter applications submitted and charters issued at the end of each year.	Use established application tracking system and charter “rolodex” to track total charters issued that meet the school turnaround priority.	Aggregate and report numeric summaries annually in the NYS Charter School Annual Report.

<i>Performance Measure (1C): Each year, 100% of the portfolio of existing charter schools who earn charter renewal from their authorizer will meet New York State’s high-quality charter school performance standards; those that do not will be closed.</i>		
Data Collection	Methods/Instruments	Analysis/Reporting
Collect the full range of charter authorizing evidence gathering, including on-site monitoring visits, annual reports, and student achievement data.	Evaluate charter school performance against each authorizer’s renewal performance benchmarks.	Report renewal decisions publicly on authorizer and NYSED websites and as part of the Annual Report on the Status of Charter Schools to Governor and Legislature.
<i>Performance Measure (1D): Each year, at least 90% of post-charter planning and implementation subgrant recipients will give an overall rating of “satisfied” or higher when asked to rate NYSED’s administration of the CSP subgrant program in the areas of clear communication, timely release of funds, and responsiveness.</i>		
Data Collection	Methods/Instruments	Analysis/Reporting
Collect quantitative and qualitative survey data.	Use online survey instrument developed and administered by a third-party evaluator.	Annually aggregate and report survey results to participating schools and partner authorizers.

Project Objective (2): Strengthen the overall quality of the New York State charter authorizing and CSP grant administrative infrastructure.		
<i>Performance Measure (2A): By December 31, 2012, NYSED will successfully complete the systematic revision and alignment of oversight protocols and guidelines.</i>		
Data Collection	Methods/Instruments	Analysis/Reporting
Research the best oversight authorization processes in New York state.	Use best-practice rubrics such as NACSA’s authorizer self-evaluation guides.	Post and share all revised protocols with all authorizers.
<i>Performance Measure (2B): Each year, at least three representatives of New York State charter authorizing entities will be invited to present on best practices related to charter authorizing and/or CSP grant oversight at a national or regional conference.</i>		
Data Collection	Methods/Instruments	Analysis/Reporting
Track the number of proposals submitted and invitations received.	Evaluate the quality of presentations using conference evaluation forms from participants.	Analyze strengths and weaknesses of presentations based on evaluation responses to inform future presentations.
<i>Performance Measure (2C): Each year, at least 75% of NYSQCAP authorizing staff members will give an overall rating of “satisfied” or higher when asked to rate the quality of collaboration and professional development opportunities provided through NYSQCAP.</i>		
Data Collection	Methods/Instruments	Analysis/Reporting
Collect quantitative and qualitative survey data.	Use online survey instrument developed and administered by a third-party evaluator.	Annually aggregate and report survey results to participating schools and partner authorizers.

Project Objective (3): Promote the dissemination of New York State charter school best practices to other public schools.

Performance Measure (3A): By June 30, 2012 NYSED will award at least 7 dissemination subgrants that meet the rigorous subgrant competition standard.

Data Collection	Methods/Instruments	Analysis/Reporting
Track the number of applications received versus those approved. Collect quantitative and qualitative data provided by each subgrantee, and feedback regarding the impact of the projects on the educational practices of awarded charter schools.	Develop tracking database. Require subgrantee evaluation data be submitted at the conclusion of the project. Utilize a survey instrument to key stakeholders involved in dissemination projects to evaluate project impacts.	Aggregate and report numeric summaries annually in the NYS Charter School Annual Report.

Performance Measure (3B): By the end of year four of the grant, seventy five percent (75%) of key stakeholders at each partner school will indicate that the dissemination partnership with a high-performing charter school has had an impact on the implementation of best practices at their school.

Data Collection	Methods/Instruments	Analysis/Reporting
Collect quantitative and qualitative data regarding the impact of the dissemination project on implementation.	Use online survey instrument developed and administered by a third-party evaluator.	Survey data will be analyzed and reported to determine impact. Analyses will determine dissemination activities/practices.

Performance Measure (3C): Beginning in year two of the grant, there will be a ten percent (10%) annual increase in the number of educational personnel in traditional public school districts that are aware of resources related to charter school best practices.

Data Collection	Methods/Instruments	Analysis/Reporting
Track usage tallies of web dissemination activities. Collect quantitative and qualitative data regarding the knowledge and use of dissemination resources.	Use online survey instrument developed and administered by a third-party evaluator. Baseline survey data collected in Year One from a sample of traditional public school personnel including superintendents, principals and teachers (if possible).	Survey data will be analyzed and reported to determine market penetration. Analyses will determine dissemination activities/practices.

Performance Measure (3D): Beginning in year two of the grant, there will be a five percent (5%) annual increase in the number of educational personnel in traditional public school districts that indicate that they have adopted charter school best practices.

Data Collection	Methods/Instruments	Analysis/Reporting
Track usage tallies of web dissemination activities. Collect quantitative data regarding the use of best practices.	Use online survey instrument developed and administered by a third-party evaluator. Baseline survey data collected in Year One from a sample of traditional public school personnel including superintendents, principals and teachers (if possible).	Survey data will be analyzed and reported to determine adoption of best practices. Analyses will determine dissemination activities/practices.

Project Objective (4): Improve student achievement outcomes in New York State charter schools, particularly for students who are at greatest risk of not meeting State academic standards.

Performance Measure (4A): Each year the percentage of charter school students in New York State, in the following categories, that achieve at or above the proficient level on State examinations, in the following subjects, will increase by 2% from the prior year (GPRA).

- (4A1): fourth grade, reading/language arts
- (4A2): fourth grade, mathematics
- (4A3): eighth grade, reading/language arts
- (4A4): eighth grade, mathematics

Performance Measure (4B): Each year, high school graduation rates for charter school students in New York State in the following categories will either meet the state standard of 80% or will reduce the gap between the state standard and the prior year's rate by at least 20%, as measured by either the four year graduation cohort rate or the five year extended cohort graduation rate.

- (4B1): all students
- (4B2): students with disabilities
- (4B3): English language learners
- (4B4): students that qualify for free-reduced lunch
- (4B5): students who reside in a rural LEA

Data Collection	Methods/Instruments	Analysis/Reporting
NYSED collects all student assessment data, conducts analysis and prepares Report Cards.	Basic Education Data System (BEDS)	School Report Cards identifying proficiency levels, AYP determinations and accountability status.
Track the status of charter schools' academic progress in meeting its overall academic goals defined in its charter.	Charter school annual reports and program monitoring reports	Aggregate results will be shared via NYS Charter School Annual Report.

Performance Measure (4C): By the end of the grant period, results from a rigorous outcomes research study will show that New York State charter schools will outperform, at a statistically significant level, comparable students in traditional New York State public schools in categories determined by the research design.

Data Collection	Methods/Instruments	Analysis/Reporting
Use extant student enrollment, achievement, graduation, and other outcomes collected via the State assessment system or contracted researcher will collect additional data as necessary.	Quasi-experimental methodology developed by contracted researcher.	Published analyses prepared by contracted researcher.

Progress toward the overall project objective of improving student achievement in New York State charter schools will ultimately provide information about what strategies are successful and should be replicated and encouraged.

Project Narrative

Other Narrative

Attachment 1:

Title: Pages: Uploaded File: **1238-Other_Attachments_Table_of_Contents.pdf**

Attachment 2:

Title: Pages: Uploaded File: **1239-I_Resume_Att_A_Senior_Dep_Comm.pdf**

Attachment 3:

Title: Pages: Uploaded File: **1240-I_Resume_Att_B_Asst_Commissioner.pdf**

Attachment 4:

Title: Pages: Uploaded File: **1241-III_NYCDOE_LOS.pdf**

Attachment 5:

Title: Pages: Uploaded File: **1242-III_SUNY_LOS.pdf**

Attachment 6:

Title: Pages: Uploaded File: **1243-IV_NYSED_response_to_West_Ed.pdf**

Attachment 7:

Title: Pages: Uploaded File: **1244-I_Resume_Att_C_Director_CSO.pdf**

Attachment 8:

Title: Pages: Uploaded File: **1245-I_Resume_Att_D_Supervisor.pdf**

Attachment 9:

Title: Pages: Uploaded File: **1246-I_Resume_Att_E_Proj_Dir.pdf**

Attachment 10:

Title: Pages: Uploaded File: **1247-I_Resume_Att_F_Grants_Manager.pdf**

Attachment 11:

Title: Pages: Uploaded File: **1248-II_NYSQCAP_031611.pdf**

Attachment 12:

Title: Pages: Uploaded File: **1249-III_Bill_Phillips_LOS.pdf**

Attachment 13:

Title: Pages: Uploaded File: **1250-III_DFER_LOS.pdf**

Attachment 14:

Title: Pages: Uploaded File: **1251-III_Merriman_LOS.pdf**

OTHER ATTACHMENTS

I. Resumes:

Attachment A: Senior Deputy Commissioner, P-12 Education

Attachment B: Assistant Commissioner, Office of Innovative
School Models, P-12 Education

Attachment C: Director, Charter School Office, Office of Innovative
School Models, P-12 Education

Attachment D: Supervisor, New Schools, Charter School Office,
Office of Innovative School Models, P-12 Education

Attachment E: Project Director, CSP Grant, Charter School Office,
Office of Innovative School Models, P-12 Education

Attachment F: Grants Manager, CSP Grant, Charter School Office,
Office of Innovative School Models, P-12 Education

II. New York State Quality Charter Authorizer Partnership (NYSQCAP)

III. Letters of Support

IV. NYSED Response to West Ed Monitoring Report



March 15, 2011

U.S. Department of Education
Office of Innovation and Improvement
400 Maryland Avenue, SW
Washington, DC 20202-5970

Attn: US Department of Education, Office of Innovation and Improvement

Dear Associate Assistant Deputy Secretary Pearson:

This letter is offered in support of the New York State Education Department's (NYSED) application for funding under the Charter Schools Program (CSP) for state educational agencies. As a partner in supporting the creation of additional, high-quality charter schools in the New York State (more specifically New York City), we have reviewed the grant application and its project objectives:

Project Objective 1: Increase the number of high-quality charter schools in New York State, especially those serving students who are at greatest risk of not meeting State academic standards.

Project Objective 2: Strengthen the overall quality of the New York State charter authorizing and CSP grant administrative infrastructure.

Project Objective 3: Promote the dissemination of New York charter school best practices to other public schools.

Project Objective 4: Improve student achievement outcomes in New York State charter schools, particularly for students who are at greatest risk of not meeting State academic standards.

The New York City Department of Education, Charter Schools Office is pleased to support this ambitious grant project. In particular, we are in full support of the plan to streamline and integrate the CSP start-up grant award review process with the rigorous and high-quality charter authorization process already conducted by the state's charter authorizers. In addition, we are excited about the creation of the New York State Charter Authorizer Quality Partnership (NYSQCAP) and will actively support this endeavor. NYSED's heightened focus on collaboration and quality authorizing will help maintain charter quality amidst rapid expansion, as new and existing charter schools serve increasing numbers of previously underserved students. The projective objectives and activities proposed in NYSED's FY11 CSP grant reflect an important shift towards solving the challenges of a mature, high-quality chartering program in New York. We will continue to offer assistance to NYSED in order to meet these challenges.

We look forward to continuously working with NYSED to open high quality charter schools in New York City.

Sincerely,

Recy Dunn
Executive Director, Charter Schools Office
New York City Department of Education

Charter Schools Office
52 Chambers Street, Room 413
New York, NY 10007
Phone: 212-374-5419



Charter Schools Institute

The State University of New York

March 14, 2011

Attn: US Department of Education
Office of Innovation and Improvement

Dear Associate Assistant Deputy Secretary Pearson:

On behalf of the State University of New York Charter Schools Institute, I am pleased to submit this letter of support for the application of the New York State Education Department (NYSED) for funding under the Charter Schools Program (CSP) for state educational agencies. We were delighted to work with NYSED in the development of the application and are pleased to serve as a partner with them and other state authorizers in supporting the creation of additional, high-quality charter schools in the New York State. We share in NYSED's commitment to the project objectives outlined in the grant application:

Project Objective 1: Increase the number of high-quality charter schools in New York State, especially those serving students who are at greatest risk of not meeting State academic standards.

Project Objective 2: Strengthen the overall quality of the New York State charter authorizing and CSP grant administrative infrastructure.

Project Objective 3: Promote the dissemination of New York charter school best practices to other public schools.

Project Objective 4: Improve student achievement outcomes in New York State charter schools, particularly for students who are at greatest risk of not meeting State academic standards.

We stand ready to actively participate in grant activities with our fellow authorizers and pledge to continue SUNY's long standing commitment to sharing its nationally recognized policies and practices with fellow authorizers in the state and across the country. To that end we have become a signatory to the New York State Authorizer Quality Partnership, and support its goals and efforts.

So many of New York's currently operating charter schools have benefited from the Charter Schools Program. We see continued support as crucial to New York's efforts to maintain charter quality amid rapid expansion, as new and existing charter schools serve increasing numbers of previously underserved students.

Please do not hesitate to contact me if you have questions or need additional information.

Sinc



Susan Miller Barker
Interim Executive Director

IV. NYSED Response to West Ed Monitoring Report

NYSED May 2009 Response to West Ed Monitoring of NYS 2005-2008 CSP Grant

New York State (NYS) was monitored by West Ed in December 2008 for its 2005-2008 CSP Grant. NYS had a no-cost extension in 2008-2009. NYS received a 2008-2011 CSP grant award. NYS is currently applying for a 2011-2016 CSP Grant. Therefore, the monitoring which occurred over two years ago was for a grant period that started six years ago.

NYS reviewed the observations, ratings, justification, and recommendations from West Ed and provided a response to West Ed which became part of the final report. The major areas of concern noted by West Ed in 2008 include:

Dissemination of Best Practices, Dissemination Subgrants, and Peer Reviewers:

- a. West Ed recommended that the State immediately develop a process for identifying best or promising practices and begin disseminating them to each LEA in State.
- b. West Ed commented that the State and SUNY have processes in place for charter schools to apply for dissemination subgrants, but the State lacks a major, well-coordinated effort and success in soliciting dissemination grant applicants. The State needs to further strengthen its process to attract more eligible applicants.
- c. West Ed commented that the State needs to further strengthen its CSP dissemination subgrant monitoring process to assure that the activities assist other schools in adapting the charter school's program (or aspects of that program) or improving educational results.
- d. West Ed encouraged collaboration and coordination between the SED and SUNY in the administration of dissemination subgrants.
- e. West Ed commented that the State did not demonstrate that it fully uses a peer review process in accordance with this section and it needed to strengthen its peer review process to include more than one peer reviewer in the dissemination subgrant process.

New York State response and action steps:

- a. NYSED included in its 2008-2011 CSP Grant an objective specific to the dissemination of best practices as well as the dissemination of such. Information regarding best practices provided by other SED agencies, USDoE, and charter schools are provided on the NYSED Charter School website. A listserv was created for charter school personnel to share information with them. Links to other networks have been provided on the Charter School Office website. A sharing successful strategies template was created and distributed to charter schools to collect information about their best practices. Articles are being written on charter schools' successful strategies. A pocket guide Q and A for parents, teachers, and community members has been developed and is being finalized to be posted on the CSO website. To

show the level of importance regarded with this effort, the 2011-2016 NYS CSP grant includes in its management plan a person dedicated solely to the State's dissemination efforts.

- b. There are occasions when NYS spending controls prohibit workshops or conferences to be held. The quality of the applications remains the determining factor in the awarding of a subgrant. The applications remain in alignment with NCLB language. NYS regional liaisons provided dissemination subgrant opportunities to charter schools during visits, on its website, and by the use of listservs.
- c. All dissemination subgrantees were listed on our grant tracking system. This system provides for the award periods, award amounts, type of award, and other relevant information. All regional liaisons assigned to any charter school having any CSP grant or State grant were provided training on the processes and protocols to follow to monitor the grant. Charter schools are bound by the specific language in their contracts which provides for monitoring expectations. At the time of the West Ed December 2008 monitoring, the annual progress reports from each of the three dissemination subgrantees were not due to the State until 08/31/09. Upon its receipt, this data provided the State with the progress of each charter school for their first year of dissemination subgrant activities which began 09/01/08.
- d. NYSED and SUNY operate within the context of a Memorandum of Understanding (MOU). This MOU outlines the activities expected of SUNY for fiscal and programmatic oversight. The MOU in place for the NYS 2005-2008 CSP Grant covers the goals of the partnership. The goals focus on (1) the development of processes and procedures for the RFP development and review process, (2) the development of a SUNY plan to implement and provide oversight of the funds, (3) the release of the RFPs to eligible applicants, (4) the application review process and the awarding of grants, (5) the SUNY submission of an end-of-year programmatic and fiscal report, and (6) monitoring and oversight reports. Monthly NYSED and SUNY CSI meetings provide for opportunities to discuss such if the need occurs.
- e. Each application is reviewed by at least two reviewers; for both the Dissemination RFP and the Planning and Implementation RFP, If there is a difference of at least 20 points in the two final review scores, a third reviewer participates. In these instances, the application is reviewed by three reviewers. The total number of reviewers necessary depends on the actual number of applications received. A list of peer reviewers for each RFP review process during the 2005-2008 CSP Grant was sent to West Ed. Seven different peer reviewers participated in some of the six RFP reviews, with two to three assigned to each of the six RFPs issued.

New York State Quality Charter Authorizer Partnership (NYSQCAP) Supported by the 2011-2016 Federal Charter Schools Program

The current major active charter authorizers in New York State are:

- New York State Board of Regents (Regents), as administered by the New York State Education Department (NYSED)
- State University of New York Board of Trustees (Trustees), as administered by the Charter School Institute (the Institute), and
- New York City Chancellor of Education (Chancellor), as administered by the New York City Department of Education (NYCDOE).

This partnership among these authorizers will be implemented as part of the 2011-2016 federal Charter Schools Program (CSP) grant submitted by NYSED, and will be formed to support the creation of high quality public charter schools under the New York Charter Schools Act as amended in 2010. This collaboration will represent a commitment by these authorizers to ensure that all charter schools in New York State will be of the highest quality. Working assumptions of this partnership include:

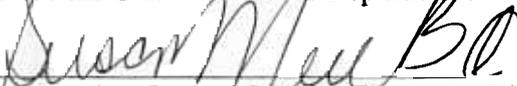
1. NYSED will ensure that all new charter schools, regardless of authorizer, will receive planning and implementation grant funds as soon as practically possible after the decision to grant a charter by the authorizer. There will be no preference given to schools authorized by the Trustees or the Regents or local boards of education for conversions—all new schools or sites will be equally eligible for CSP grant funds which will be dispersed on a first-initially-approved-first-funded basis, regardless of authorizer.
2. NYSED will leverage all federal and state sources of support possible to help ensure successful school launch for all public charter schools in New York State.
3. Both the Trustees and the Regents will continue to design and implement rigorous, high-quality, peer review charter school application evaluation processes, in alignment with the *National Association of Charter School Authorizers (NACSA) Principles and Standards* and the New York State Charter Schools Act. The Trustees and Regents will apply high quality review processes for the creation of multiple schools or sites including replication. NYSED will support local boards of education, including the Chancellor and NYCDOE, in the authorization of conversion charter schools, to ensure that their application and revision review processes are also in alignment with best practice, CSP requirements, and state law and will only approve new applications that are in alignment with NACSA Principles and Standards.
4. Each authorizer commits to upholding the highest quality authorizing standards for making performance-based renewal decisions in alignment with NACSA Principles and Standards. NYSED will support local boards of education in the authorization of conversion charter schools, to ensure that their renewal review processes are also in alignment with best practice, CSP requirements, and state law.
5. NYSED, the Institute, and NYCDOE commit to developing clear and high-quality processes around charter revocations and non-renewals to ensure that low-performing charter schools are not able to switch authorizers in order to avoid being held accountable.
6. The application for CSP grant funds will be integrated with the application for a new charter or for an additional school(s) (replication), as appropriate.
7. The issuance of a charter by the Regents for a new charter school triggers the flow of CSP planning and implementation funds. The issuance of a charter by the Regents that results in

the creation of multiple schools, including replication, will also trigger the flow of CSP planning and implementation funds if the new schools created by such revision meets the “charter school” definition standard under CSP requirements.

8. The NYSED CSP grant project, the United States Department of Education’s priorities as outlined in the ESEA blueprint, the New York State Governor’s Race to the Top application, and federal and state funds available to charter schools will assist in creating high quality seats in New York State for students, families and communities. The Trustees and Regents, and local boards of education that choose to authorize conversion charter schools will be afforded flexibility about how to tailor these incentive priorities over the five year grant period to respond to emerging needs.
9. For any CSP grant project deliverable requiring third-party vendors such as projects, authorizer professional development or project evaluation activities—NYSED will contract with vendors that are mutually agreeable to partner authorizers in the State. When appropriate, NYSED may leverage our collaborative partnership with the Institute to expedite and execute contracts for project deliverables, if agreeable to both agencies.
10. NYSED will provide active authorizers with quality authorizer partnership grants/contracts in order to ensure dedicated resources to support coordination for CSP grant oversight, completion of project deliverables, and full participation in this collaboration, including planned semi-annual meetings, joint participation and presentations at national charter school authorizing conferences, and professional development activities.



Sally Bacher, Assistant Commissioner for School Innovation
New York State Education Department



Susan Miller Barker, Interim Executive Director
SUNY Charter Schools Institute



Marc Sternberg, Deputy Chancellor for Portfolio Planning
New York City Department of Education



new ideas, better schools

March 8, 2011

Attn: US Department of Education
Office of Innovation and Improvement

Dear Associate Assistant Deputy Secretary Pearson:

This letter is offered in support of the New York State Education Department's (NYSED) application for funding under the Charter Schools Program (CSP) for state educational agencies. As a partner in supporting the creation of additional, high-quality charter schools in the New York State, we have reviewed the grant application and its project objectives:

Project Objective 1: Increase the number of high-quality charter schools in New York State, especially those serving students who are at greatest risk of not meeting State academic standards.

Project Objective 2: Strengthen the overall quality of the New York State charter authorizing and CSP grant administrative infrastructure.

Project Objective 3: Promote the dissemination of New York charter school best practices to other public schools.

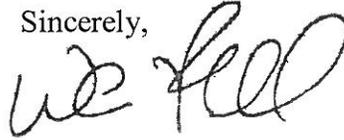
Project Objective 4: Improve student achievement outcomes in New York State charter schools, particularly for students who are at greatest risk of not meeting State academic standards.

We are pleased to support this ambitious grant project. In particular, we are in full support of the plan to streamline and integrate the CSP start-up grant award review process with the rigorous and high-quality charter authorization process already conducted by the state's charter authorizers. In addition, we are excited about the creation of the New York State Charter Authorizer Quality Partnership (NYSQCAP) and will actively participate/support this endeavor. NYSED's heightened focus on collaboration and quality authorizing will help maintain charter quality amidst rapid expansion, as new

915 Broadway, Suite 110, Albany, NY 12207
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www.nycsa.org

and existing charter schools serve increasing numbers of previously underserved students. The projective objectives and activities proposed in NYSED's FY11 CSP grant reflect an important shift towards solving the challenges of a mature, high-quality chartering program in New York. We will continue to offer assistance to NYSED in order to meet these challenges.

Sincerely,

A handwritten signature in black ink, appearing to read "Bill Phillips". The signature is fluid and cursive, with the first name "Bill" and the last name "Phillips" clearly distinguishable.

Bill Phillips, President
NYCSA

DEMOCRATS

for EDUCATION REFORM

928 Broadway, Suite 505
New York, NY 10010
(212) 614-3213

March 11, 2011

Attn: US Department of Education
Office of Innovation and Improvement

Dear Associate Assistant Deputy Secretary Pearson:

This letter is offered in support of the New York State Education Department's (NYSED) application for funding under the Charter Schools Program (CSP) for state educational agencies. As a partner in supporting the creation of additional, high-quality charter schools in the New York State, we have reviewed the grant application and its project objectives:

Project Objective 1: Increase the number of high-quality charter schools in New York State, especially those serving students who are at greatest risk of not meeting State academic standards.

Project Objective 2: Strengthen the overall quality of the New York State charter authorizing and CSP grant administrative infrastructure.

Project Objective 3: Promote the dissemination of New York charter school best practices to other public schools.

Project Objective 4: Improve student achievement outcomes in New York State charter schools, particularly for students who are at greatest risk of not meeting State academic standards.

We are pleased to support this ambitious grant project. In particular, we support the plan to streamline and integrate the CSP start-up grant award review process with the rigorous and high-quality charter authorization process already conducted by the state's charter authorizers.

In addition, we are excited about the creation of the New York State Charter Authorizer Quality Partnership (NYSQCAP) and will actively support this endeavor. NYSED's heightened focus on collaboration and quality authorizing will help maintain charter quality amidst rapid expansion, as new and existing charter schools serve increasing numbers of previously underserved students.

The project objectives and activities proposed in NYSED's FY11 CSP grant reflect an important shift towards solving the challenges of a mature, high-quality chartering program in New York.

We will continue to offer assistance to NYSED in order to meet these challenges. Please don't hesitate to call us at 212-614-3213 if you would like to discuss further.

Sincerely,



Joe Williams
Executive Director



Elizabeth Ling
New York State Director



March 8, 2011

Attn: Office of Innovation and Improvement
US Department of Education
400 Maryland Avenue, SW
Washington, D.C. 20202

Dear Associate Assistant Deputy Secretary Pearson:

This letter is offered in support of the New York State Education Department's (NYSED) application for funding under the Charter Schools Program (CSP) for state educational agencies. As a partner in supporting the creation of additional, high-quality charter schools in the New York State, we have reviewed the grant application and its project objectives and we agree fully with the priorities set forth therein.

We strongly believe that the application outlines a plan for the administration and award of funds that will improve the quality of charter schools in New York State as well as incentivize appropriately efforts to increase access to charter schools for populations of students which are most at risk of academic failure. In particular, we are in full support of the plan to streamline and integrate the CSP start-up grant award review process with the rigorous and high-quality charter authorization process already conducted by the state's charter authorizers. We believe that New York State, always known for a strong authorization climate, is increasing the depth and quality of its authorization, both at SUNY and at NYSED as well as at New York City's Department of Education.

In the same vein, we are excited about the creation of the New York State Charter Authorizer Quality Partnership (NYSQCAP) and will actively support this endeavor. NYSED's heightened focus on collaboration and quality authorizing will help maintain charter quality amidst rapid expansion, as new and existing charter schools serve increasing numbers of previously underserved students. The objectives and activities proposed in NYSED's FY11 CSP application reflect an important shift towards solving the challenges of a mature, high-quality chartering program in New York. We will continue to offer assistance to NYSED in order to meet these challenges.

Finally, we note that the dissemination portion of the grant application will provide critical resources to facilitate the historic district/charter collaboration compacts that both Rochester and New York City have entered into with their charter sectors. This work is central to fulfilling the role that charter schools can and should play in working with high quality district schools to ensure that all public schools work for the children they enroll.

Sincerely,

A handwritten signature in blue ink, appearing to read "James Merriman", is written over a printed name and title.

James Merriman
Chief Executive Officer

Budget Narrative

Budget Narrative

Attachment 1:

Title: Pages: Uploaded File: **1237-NYSED_CSP_FY11_Budget_Data_031411.pdf**

ED524 Budget Categories	Year 1 2011-12	Year 2 2012-13	Year 3 2013-14	Year 4 2014-15	Year 5 2015-16	5-Year Total	Description of Costs
1. Personnel (see Staff worksheet for detail)	\$579,659	\$597,049	\$614,960	\$633,409	\$652,411	\$3,077,488	Costs for 7.0 annual FTE grant personnel detailed on the "Personnel" worksheet, with 3% annual inflation.
2. Fringe Benefits	\$255,572	\$303,360	\$335,707	\$372,318	\$383,487	\$1,650,444	Fringe benefits for above listed personnel, based on the NYSED projected fringe benefits rates of 44.09%, 50.81%, 54.59%, 58.78%, and 58.78% for Years 1 - 5 respectively.
3. Travel	\$20,000	\$20,000	\$20,000	\$20,000	\$20,000	\$100,000	Total costs for planned travel detailed below.
	\$4,000	\$4,000	\$4,000	\$4,000	\$4,000	\$20,000	2.0 FTEs to Required CSP Project Directors Meetings.
	\$16,000	\$16,000	\$16,000	\$16,000	\$16,000	\$80,000	Representatation at regional/national charter school conferences (e.g., NACSA); travel in-state for visits to schools.
4. Equipment	\$0	\$0	\$0	\$0	\$0	\$0	No costs budgeted.
5. Supplies	\$2,000	\$2,000	\$2,000	\$2,000	\$2,000	\$10,000	Costs for basic administrative office supplies to support grant administration.
6. Contractual	\$47,403,681	\$41,447,992	\$24,612,333	\$24,557,273	\$24,533,179	\$162,554,458	Costs for contracts detailed below.
<i>Planning and Implementation Start-up subgrants</i>	\$46,675,911	\$24,000,000	\$24,000,000	\$24,000,000	\$24,000,000	\$142,675,911	Planning and Implementation Start-up subgrants (3-years) as projected in "Subgrants" worksheet. Year 1 consists of continuation support of \$10,675,911 for 38 schools (assuming NYSED's Nov 2010 supplemental request is not granted), along with new awards for 20 schools already chartered, and 40 schools to be chartered (\$600,000 average each). Years 2, 3, 4, and 5 consist of grant support for 40 new schools to be chartered per year (\$600,000 average each). Total grant request is for 38 continuation school awards, and 220 new charter awards over the 5-year grant period. Full 3-year contract obligated in initial year of each award, with no cost extension years requested to complete awards initiated in Year 4 and 5 of the grant project.
<i>Dissemination subgrants</i>	\$0	\$16,785,401	\$0	\$0	\$0	\$16,785,401	Dissemination subgrants (3 years): Single, RttT-style competition conducted in Year 1 for projects running from Year 2 to Year 4; evaluation in Year 5 (Possibly 14 \$1 million grants or 7 \$2 million grants). Full 3 year contract obligated in the initial year of award.
<i>Quality authorizer partnership grants/contracts</i>	\$200,000	\$200,000	\$200,000	\$200,000	\$200,000	\$1,000,000	Support for other major active authorizers in NYS (currently SUNY, NYCDOE) to designate a NYSED liaison and participate in NYS Charter Authorizer Partnership Project. Funds to be split on a per school or per students served basis.

ED524 Budget Categories	Year 1 2011-12	Year 2 2012-13	Year 3 2013-14	Year 4 2014-15	Year 5 2015-16	5-Year Total	Description of Costs
	\$357,770	\$292,591	\$242,333	\$187,273	\$163,179	\$1,243,145	<i>Contracted consultants for a number of activities, including: evaluators on performance monitoring visits, peer reviewers for charter/grant applications, contractors to assist with protocol and data systems development for NYSED and NYSQCAP partners, trainers/facilitators to conduct workshop for charter schools and NYSQCAP partners. Decreasing annual need due to increased resident capacity.</i>
	\$170,000	\$170,000	\$170,000	\$170,000	\$170,000	\$850,000	<i>Evaluators: Third-party vendor to conduct surveys, qualitative review, and interviews to evaluate components of Project Objectives 1, 2, and 3; Research contractor for controlled outcomes study for Project Objective 4.</i>
7. Construction	\$0	\$0	\$0	\$0	\$0	\$0	No costs budgeted.
8. Other	\$0	\$0	\$0	\$0	\$0	\$0	No costs budgeted.
9. Total Direct Costs	\$48,260,912	\$42,370,401	\$25,585,000	\$25,585,000	\$25,591,077	\$167,392,390	Lines 1 - 8.
10. Indirect Costs	\$86,949	\$89,557	\$92,244	\$95,011	\$97,862	\$461,623	Total indirect costs based on 15% indirect cost rate on personnel in line 1 above.
11. Training Stipends	\$0	\$0	\$0	\$0	\$0	\$0	No costs budgeted.
Total Costs	\$48,347,861	\$42,459,958	\$25,677,244	\$25,680,011	\$25,688,939	\$167,854,013	Lines 9 - 11
<i>Admin set-aside %</i>	<i>3.46%</i>	<i>\$0</i>	<i>6.53%</i>	<i>6.54%</i>	<i>6.57%</i>	<i>\$0</i>	<i>All lines except for Contracts related to Planning and Implementation and Dissemination Grants.</i>

New York State CSP Grant Project 2011-2016 Proposed Personnel

Grade Level	FTE	Job Title (Description)	Priority	Salary Cost	Fringe	Indirect	Total Cost	Additional Info
22	1.00	Asst Educ Imp Svs (Performance Oversight Specialist)	Incumbent	71,430	31,493	10,715	113,638	Works on general oversight, a mix of authorizer, regulatory, and CSP
22	1.00	Asst Educ Imp Svs (CSP Grants Manager)	Incumbent	71,430	31,493	10,715	113,638	Directly manages CSP subgrants to schools
26	1.00	Assoc Intercultural Relations (New Schools Specialist)	Incumbent	86,686	38,220	13,003	137,909	Works on new school application process which serves as the peer review process for CSP grants
28	1.00	TBD (Performance Oversight Coordinator - NYC)	New 1	95,999	42,326	14,400	152,724	Required to oversee the development and implementation of performance oversight protocols and monitoring of charter schools
28	1.00	TBD (CSP Project Director)	New 2	95,999	42,326	14,400	152,724	Required to ensure quality management of CSP grant and other regulatory/federal requirements
26	1.00	TBD (Dissemination Specialist)	New 3	86,686	38,220	13,003	137,909	Required to fully implement dissemination objective of CSP grant
22	1.00	TBD (Compliance Specialist)	New 4	71,430	31,493	10,715	113,638	Required to support CSP Project Director in managing increased compliance requirements due to significant charter expansion
	7.00	Totals		\$579,659	\$255,572	\$86,949	\$922,180	Total Cost

New York State CSP Grant Project 2011-2016 Subgrant Budget Detail

CSP Project Year	RFP Announced on	Charter Awarded no later than	36 month CSP grant project period	Planning Year	Instruction commences by	End of Year 2 of Imp.	RttT Year	SUNY	BoR	Conversions	Totals	Estimate Grant Award Totals	Total schools operating in NYS	Total schools authorized to operate in NYS	Dissemination: 3-year grants from 09/01/12-08/31/15
Year 1	Schools that already received some, but not full CSP grant awards				Varies	8/31/2012 or 8/31/13	NA	16	22	0	38	\$10,675,911			
Year 1	1-Aug-10	31-Dec-10	9/1/10-8/31/13	2010-11	1-Sep-11	31-Aug-13	Year 1	13	7	0	20	\$12,000,000	171	196	
Year 1	1-Jan-11	31-Dec-11	9/1/11-8/31/14	2011-12	1-Sep-12	31-Aug-14	Year 2	19	19	2	40	\$24,000,000	211	236	Development
Year 2	1-Jan-12	31-Dec-12	9/1/12-8/31/15	2012-13	1-Sep-13	31-Aug-15	Year 3	19	19	2	40	\$24,000,000	251	276	Year 1
Year 3	1-Sep-13	31-Dec-13	9/1/13-8/31-16	2013-14	1-Sep-14	31-Aug-16	Year 4	19	19	2	40	\$24,000,000	291	316	Year 2
Year 4	1-Jan-14	31-Dec-14	9/1/14-8/31/17	2014-15	1-Sep-15	31-Aug-17	NA	19	19	2	40	\$24,000,000	331	356	Year 3
Year 5	1-Jan-15	31-Dec-15	9/1/15-8/31/18	2015-16	1-Sep-16	31-Aug-18	NA	19	19	2	40	\$24,000,000	371	396	Evaluation
No Cost Ext. 1				2016-17											
No Cost Ext. 2				2017-18											
Total New								108	102	10	220	\$132,000,000			
Total Overall								124	124	10	258	\$142,675,911			

Avg Grant Size Used for Budget: \$600,000

	5 Year Budget	% of Grant	Annual Budget
Total	\$167,854,013	100.00%	\$33,570,803
Start-Up	\$142,675,911	85.00%	\$28,535,182
Dissemination	\$16,785,401	10.00%	\$3,357,080
Admin	\$8,392,701	5.00%	\$1,678,540
Total	\$167,854,013	100.00%	\$33,570,803

Sample Distribution of new awards	Amount	# of Grants	Total
Base	\$500,000	74	\$37,000,000
Priority 1	\$625,000	116	\$72,500,000
Priority 2	\$750,000	30	\$22,500,000
Total Start-Up		220	\$132,000,000